

## DISTRICT OF COLUMBIA COURT SYSTEM

### Overview

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
261	40,402,000	261	40,006,000	309	53,331,000	48	13,325,000

### **Introduction**

The District of Columbia Court Reform and Criminal Procedure Act of 1970 created a unified court system. The Act assigns responsibility for the administrative management of the District of Columbia Courts to the Executive Officer, who oversees eight Court divisions. They include: 1) Administrative Services; 2) Attorney Advisors; 3) Budget and Finance; 4) Center for Training, Education and Development; 5) Court Reporting and Recording; 6) Human Resources; 7) Information Technology; and 8) Research and Development.

### **FY 2004 Request**

The D.C. Courts' mission is to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly and effectively in the Nation's Capital. To perform the mission and realize their vision of a court that is open to all, trusted by all, and provides justice for all, the Courts have identified 5 strategic issues, which comprise the centers of our strategic goals:

- **Strategic Issue 1:** Enhancing the administration of justice;
- **Strategic Issue 2:** Broadening access to justice and service to the public;
- **Strategic Issue 3:** Promoting competence, professionalism and civility;
- **Strategic Issue 4:** Improving Court facilities and technology; and
- **Strategic Issue 5:** Building trust and confidence.

The Court System has aligned its FY 2005 request around these five issues.

In FY 2004, the Court System requests \$53,331,000 and 309 FTEs, an increase of \$13,325,000 (33%) and 48 FTE above the FY 2004 Enacted level. The request includes increases to support the following Court goals:

#### ***Strategic Issue 1: Enhancing the administration of justice -- \$3,576,000 and 21 FTEs***

The FY 2005 Court System request includes \$3,576,000 and 21 FTEs to address the Courts' strategic issue to enhance the administration of justice, including \$1,636,000 and 12 FTEs to enhance the integrity of the Court Record and the timely production of transcripts; \$571,000 and 2 FTEs for an initiative to enhance continuous strategic planning, management and performance measurement; \$588,000 and 1 FTE to enhance materiel management and supply and equipment

storage; \$380,000 and 5 FTEs to enhance financial management and budgeting in the Courts; \$195,000 to replace outdated official court vehicles; \$115,000 for equipment to maintain the courthouse and manage deliveries; and \$91,000 and 1 FTE to enhance Defender Services Program Management.

***Strategic Issue 2: Broadening access to justice and service to the public -- \$2,136,000 and 10 FTEs***

The FY 2005 request includes \$2,136,000 and 10 FTEs to address the Courts' strategic issue of broadening access to justice and service to the public, including \$1,884,000 and 10 FTEs to assist self-represented litigants and \$252,000 to serve juveniles under supervision in new leased space in the Northwest Field Unit.

***Strategic Issue 3: Promoting competence, professionalism and civility -- \$967,000***

The FY 2005 request includes \$967,000 in the Court System to address the Courts' strategic issue of promoting competence, professionalism, and civility, including \$930,000 for initiatives to invest in Human Resources, including succession planning, tuition assistance, a Senior Court Executive leadership development program, and enhanced employee benefits to increase the Courts' competitiveness in the labor market and \$37,000 for specialized training for Criminal Division and Attorney Advisors Division staff.

***Strategic Issue 4: Improving Court facilities and technology -- \$5,349,000 and 14 FTEs***

The FY 2005 request includes \$5,349,000 and 14 FTEs to address the Courts' strategic issue of improving Court facilities and technology, including \$3,899,000 and 6 FTEs for an IT initiative for infrastructure enhancements, upgrade of IT operations, and implementation of the disciplined processes GAO recommends for the Integrated Justice Information System (IJIS) project; \$956,000 to enhance public security by providing additional contractual Court Security Officers; \$312,000 for 6 FTEs to provide round-the-clock engineering support; and \$182,000 and 2 FTEs to provide project directors as the Courts undertake numerous major capital projects, including restoration of the Old Courthouse.

***Strategic Issue 5: Building trust and confidence -- \$243,000 and 3 FTEs***

The FY 2005 Court System request includes \$243,000 and 3 FTEs to address the Courts' strategic issue of building trust and confidence by establishing an internal audit team to conduct both financial and programmatic audits within the Courts.

**DISTRICT OF COLUMBIA COURT SYSTEM**  
**Budget Authority by Object class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	16,327,870	17,373,000	20,713,000	3,340,000
12 - Personnel Benefits	3,704,396	4,280,000	5,134,000	854,000
<b>Subtotal Personnel Cost</b>	<b>20,032,266</b>	<b>21,653,000</b>	<b>25,847,000</b>	<b>4,194,000</b>
21 - Travel, Transportation of Persons	418,897	348,000	382,000	34,000
22 - Transportation of Things	1,000	1,000	1,000	-
23 - Rent, Communications & Utilities	6,428,041	6,527,000	7,402,000	875,000
24 - Printing & Reproduction	64,000	65,000	133,000	68,000
25 - Other Services	10,668,796	10,358,000	14,814,000	4,456,000
26 - Supplies & Materials	417,000	424,000	431,000	7,000
31 - Equipment	2,372,000	630,000	4,321,000	3,691,000
<b>Subtotal Non Personnel Cost</b>	<b>20,369,734</b>	<b>18,353,000</b>	<b>27,484,000</b>	<b>9,131,000</b>
<b>TOTAL</b>	<b>40,402,000</b>	<b>40,006,000</b>	<b>53,331,000</b>	<b>13,325,000</b>
FTE	261	261	309	48

**DISTRICT OF COLUMBIA COURT SYSTEM  
EXECUTIVE OFFICE**

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
13	1,233,000	13	1,344,000	28	4,089,000	15	2,745,000

The Executive Office is responsible for the administration and management of the District of Columbia Courts. The Executive Officer supervises all Court System divisions: Administrative Services; Attorney Advisors Division; Center for Education, Training and Development; Court Reporting and Recording; Budget and Finance; Human Resources; Information Technology; and Research and Development. The Court System divisions provide administrative support to the D.C. Courts' case processing operations.

**FY 2005 Request**

In FY 2005, the Courts request \$4,089,000 for the Executive Office, an increase of \$2,745,000 above the FY 2004 Enacted level. The requested increase consists of \$243,000 and 2 FTEs for an internal audit team and \$47,000 for built-in costs. In addition, in the Initiatives section, \$571,000 is requested as part of the Strategic Planning and Management initiative and \$1,884,000 is requested for a Self-Representation Service Center initiative.

**FTE Request: Internal Audit Team**

**2 Auditors (JS-12), \$162,000**

**1 Investigator (JS-12), \$81,000**

Problem Statement. All public agencies are responsible and accountable for their operations. The effectiveness of management controls in ensuring that proper procedures are being followed and responsibilities met should be continuously monitored and assessed. Internal audits can assist in this responsibility by ascertaining conformance with laws and regulations and accounting principles and standards assessing the adequacy of policies, procedures and internal controls evaluating the validity and timeliness of financial information and reports; and detecting any instances of fraud, waste, and mismanagement in programs and operations. Without a mechanism to periodically monitor the economy, efficiency, and effectiveness of operations and the achievement of program objectives, the risk that limited resources are misused or misappropriated is significantly increased. The Courts do not have staff with the special skills or expertise required to perform this program and financial audit function on an enterprise-wide basis.

Relationship to Court Mission and Goals. This initiative supports the D.C. Courts' goal of building trust and confidence in the justice system by being accountable to the public. In particular, issuing internal audit reports would support the Courts' Strategy 5.2.2 by establishing a process that measures organizational performance.

Relationship to Divisional Objectives. The internal audit function supports the Courts' objectives of promoting continuous improvement in the financial structures, processes, programs and performance of the D.C. Courts, and providing timely and reliable financial and programmatic management information and counsel to D.C. Courts' officials for making court-wide and programmatic decisions.

Proposed Solutions. The D.C. Courts plan to hire two auditors and one investigator to conduct financial and performance audits and investigations. The audits and investigations would be based on statutory and regulatory requirements and requests from Congress, the general public, and D.C. Courts officials.

Methodology. D.C. Code 11-1701(b)(2) and 1703 assign responsibility for matters relating to auditing to the Joint Committee and the Executive Officer, respectively. In addition, the need for an internal auditing capability is based on Federal legislation and regulations, such as the Inspector Generals Act and Office of Management and Budget Circular A-123 "Management Accountability and Control", which recognize the need for the performance of independent, objective, and timely reviews as a key component of assessing the adequacy of management/internal controls in programs and operations.

Expenditure Plan. The recruitment and selection process will be conducted in accordance with the D.C. Courts' personnel policies.

Performance Indicators. The D.C. Courts will measure performance by the percentage of recommendations accepted and implemented by management officials, and enhanced effectiveness and efficiency of program operations.

Table 1  
**EXECUTIVE OFFICE**  
**New Positions Requested: FY 2005**

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Strategic Management Analysts	JS-13	2	146,000	35,000	181,000
Project Director	JS-14	1	86,000	21,000	107,000
Attorneys	JS-12	2	131,000	31,000	162,000
Paralegals	JS-8	7	286,000	69,000	355,000
Auditors	JS-12	2	131,000	31,000	162,000
Investigator	JS-12	1	65,000	16,000	81,000
<b>Total</b>		<b>12</b>	<b>\$845,000</b>	<b>\$202,500</b>	<b>\$1,048,000</b>

Table 2  
**EXECUTIVE OFFICE**  
**Budget Authority by Object class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	1,005,000	1,079,000	1,962,000	883,000
12 - Personnel Benefits	222,000	259,000	471,000	212,000
<b>Subtotal Personnel Cost</b>	<b>1,227,000</b>	<b>1,338,000</b>	<b>2,433,000</b>	<b>1,095,000</b>
21 - Travel, Transportation of Persons			29,000	29,000
22 - Transportation of Things				-
23 - Rent, Communications & Utilities				-
24 - Printing & Reproduction			67,000	67,000
25 - Other Services			781,000	781,000
26 - Supplies & Materials	4,000	4,000	4,000	-
31 - Equipment	2,000	2,000	775,000	773,000
<b>Subtotal Non Personnel Cost</b>	<b>6,000</b>	<b>6,000</b>	<b>1,656,000</b>	<b>1,650,000</b>
<b>TOTAL</b>	<b>1,233,000</b>	<b>1,344,000</b>	<b>4,089,000</b>	<b>2,745,000</b>
FTE	13	13	28	15

Table 3  
**EXECUTIVE OFFICE**  
**Detail, Difference FY 2004/FY 2005**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY2004/FY2005</b>
11 - Personnel Services	Current Positions WIG	13	1,000	
	Current Positions COLA	13	37,000	
	Strategic Management Analyst	2	146,000	
	Project Director	1	86,000	
	Attorneys	2	131,000	
	Paralegals	7	286,000	
	Auditors	2	131,000	
	Investigator	1	65,000	
Subtotal				883,000
12 - Personnel Benefits	Current Positions WIG	13	-	
	Current Positions COLA	13	9,000	
	Strategic Management Analyst	2	35,000	
	Project Director	1	21,000	
	Attorneys	2	31,000	
	Paralegals	7	69,000	
	Auditors	2	31,000	
	Investigator	1	16,000	
Subtotal				212,000
21 - Travel and Transportation	Self-Rep. Svc. Ctr - Travel/Training		14,000	
	Strategic Planning - Travel/Training		15,000	
Subtotal				29,000
22 - Transportation of Things				
23 - Rent, Communications & Utilities				
24 - Printing & Reproduction	Self-Rep. Svc. Ctr - Info Packets			67,000
25 - Other Services	Self-Rep. Svc. Ctr - Space		263,000	
	Self-Rep. Svc. Ctr - Consulting Svc.		443,000	
	Contractual Services - Strategic Plan		75,000	
Subtotal				781,000
26 - Supplies and Materials				
31 - Equipment	Self-Rep. Svc. Ctr - Equipment		473,000	
	Performance Measurement Software		300,000	
Subtotal				773,000
Subtotal NPS				1,650,000
Total				2,745,000

Table 4  
**DISTRICT OF COLUMBIA COURTS**  
**EXECUTIVE OFFICE**  
**Detail of Full-Time Equivalent Employment**

	2003 Enacted	2004 Enacted	2005 Request
JS-3			
JS-4			
JS-5			
JS-6	1	1	1
JS-7	1	1	1
JS-8			7
JS-9	1	1	1
JS-10	2	2	2
JS-11			
JS-12	1	1	6
JS-13	1	1	3
JS-14	3	3	4
JS-15	1	1	1
JS-16	1	1	1
JS-17			
Ungraded	1	1	1
JS Salary	\$1,005,000	\$1,079,000	\$1,962,000
Total, end-of-year	13	13	28
Total Full-Time Equivalent (FTE)	13	13	28



**DISTRICT OF COLUMBIA COURT SYSTEM  
ADMINISTRATIVE SERVICES DIVISION**

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
64	6,930,000	64	7,502,000	73	9,354,000	9	1,852,000

The Administrative Services Division consists of the Director's Office and three branches. The Information & Telecommunications Branch is responsible for telecommunications, information services regarding daily Court proceedings, mailroom services and records management. The Building Operations Branch is responsible for design, engineering, and construction services; capital projects; space management; facilities management; fleet management; building maintenance and repair services; custodial services; and staff relocation services. The Procurement and Contracts Branch is responsible for procurement and contracting management, reproduction and graphic services, inventory and stockroom management.

**Workload Data**

In FY 2005, the Administrative Services Division expects to manage janitorial and cleaning services for the Courts' 872,663 sq. ft. of net floor area in a cost-effective manner, at \$5.65/sq. ft. The facilities maintenance, repair, and operations (MRO) costs for the entire D.C. Courts' complex was provided at a cost of \$10.60/sq. ft. These costs are comparable to industry standards (International Facility Management Association) that are respectively, \$3.05 and \$10.35 per square foot for janitorial and MRO costs.

The mailroom processed approximately 370,000 outgoing checks, 400,000 subpoenas, and 282,000 jury summonses. The Division staff also processed 4,000 procurement and work order requests; filled over 100,000 record center requests to supply official court records; processed over 10,550 cases of records and files for storage or disposal; and received over 260,000 calls to the Information Center.

Table 1  
**ADMINISTRATIVE SERVICES DIVISION**  
**Performance Measurement Table**

Performance Indicator	Data Source	Estimate FY 2002	Projection FY 2003	Projection FY 2004	Projection FY 2005*
Number of Help Desk Calls Received	Office Records	5,200	5,500	6,000	**14,400
<b>Facilities Maintenance</b>					
Number of Hours to Close Help Desk Service Calls	Survey and customer feedback form	36 hours	24 hours	24 hours	36 hours
% of Court Personnel Satisfied		90%	85%	85%	90%
<b>Telecommunications</b>					
Records Center requests for court records filled	Survey and customer feedback form	25,000	25,000	25,000	30,000
Juror and Child Support Checks processed by mailroom		21,000	15,000	15,000	75,000
Jury Summons processed by mailroom		350,000	350,000	365,000	370,000
% of Internal Customers Satisfied		289,000	290,000	350,000	400,000
		90%	95%	95%	95%
<b>Procurement</b>					
Number of Requisitions Processed	Survey and customer feedback form	4,000	4,000	4,000	4,500
% of Internal Customers Satisfied		90%	95%	95%	95%

\* These are annual figures

### **FY 2005 Request**

The Courts' FY 2005 request for the Administrative Services Division is \$9,354,000, an increase of \$1,852,000 (25%) above the FY 2004 Enacted level. The requested increase consists of \$557,000 for 9 new FTEs to provide engineering support, capital project management, and materiel management; \$195,000 for transportation replacement; \$525,000 for a warehousing project; 115,000 for equipment; \$252,000 for leased space; and \$208,000 for built-in cost increases. The request includes:

### **FTE Request: 6 Engineer/ Mechanics (JS-9), \$312,000**

**Problem Statement.** The D.C. Courts' facilities consist of the Moultrie Courthouse, 3 other buildings at Judiciary Square (Buildings A and B and the Old Courthouse), and a number of field offices, totaling over one million gross square feet. Several court facilities are open 24 hours a day, 7 days a week. The Courts do not have adequate staff to service all facilities nor to cover extended operating hours. The Moultrie Courthouse is open 24 hours a day, 7 days a week to provide arraignments and required hearings, to permit litigants and attorneys to file cases, and to accommodate the public. Building B, at 409 E Street NW, is also open 24 hours, 7 days a week, as it houses the District's cellblock for juvenile offenders taken into custody after normal working hours and provides office and counseling space for juvenile probation officers who, by necessity, work sporadic hours. Court operations are interrupted and the Courts routinely incur overtime costs for emergency facility repairs and routine maintenance requirements because current staffing is insufficient to provide engineering support. No staff members are available on-site to handle emergencies which arise on weekends or after 4 p.m. on weekdays. Although

the on-call response time is within 30-minutes, extensive damage can be caused by systems failures without immediate attention. The addition of the requested FTEs will provide for 24-hour coverage of all Court buildings.

Relationship to the Courts' Vision, Mission, and Goals. By improving the maintenance of courthouse facilities, the additional FTEs would support the goal of improving Court facilities, enhancing the Courts' ability to provide personnel and court participants with a functional, habitable, and safe physical environment.

Relationship to Divisional Objectives. The additional FTEs would permit engineering coverage of Court buildings during the evenings and on weekends, and thereby, is consistent with the Division's objective of providing direct support services to the judicial offices, the operating divisions, and other support units of the Court, as well as to the public through effective and efficient management of Court facilities, infrastructure and assets.

Methodology. The additional engineering/mechanical staff is based on International Facilities Management Recommendation for facilities of comparable size (IFMA – Operational and maintenance benchmarks, c. 2001 IFMA Research Report #21) and is supported by a recent workload study conducted by the consulting firm of Booz- Allen-Hamilton.

Expenditure Plan. The additional engineers would be required to possess a District of Columbia Class 6 Steam License and would be recruited and hired according to Court personnel policies.

Performance Indicators. The additional FTEs would reduce Court interruptions due to building system failures. The additional FTEs would also reduce the need for on-call deferential pay for building engineers. Overall savings from reduced deferential pay is estimated to be approximately \$40,000 per year. The additional FTEs will also reduce the need for certain outside electrical and mechanical blanket purchases by the Courts. Total savings from this action are estimated to be over \$50,000 per year.

### **FTE Request: Project Manager, Old Courthouse Restoration (JS-13), and \$91,000**

Problem Statement. The Old Courthouse, located at 451 Indiana Avenue, is a multi-year, \$80 million project and requires the expertise of a dedicated project manager to keep the project on budget and on schedule and to manage the complex range of architectural, engineering, and historic preservation issues surrounding restoration of this national landmark for use as a courthouse. In addition, the project manager will be the Court's liaison with the General Services Administration, which is assisting the Court with this project. Currently, the Courts do not have staff available to dedicate to this project. The Old Courthouse restoration project will improve efficiencies by co-locating the offices that support the Court of Appeals and by providing some 37,000 sq. ft. of critically needed space for Superior Court, particularly Family Court, functions in the Moultrie courthouse.

Relationship to the Courts' Vision, Mission, and Goals. Effective management of the restoration of the Old Courthouse capital project will support the Courts' goal of improving their facilities through the strategy of implementing the long-term facilities master plan. In particular, this

position will help the Courts implement the first step outlined in the Facilities Master Plan to meet space needs, thereby providing a functional physical environment to court employees and the public.

Relationship to Divisional Objectives. The Project Director would lead a multidisciplinary team to manage the renovation of the Old Courthouse, which is needed for the current and future space needs of the D.C. Courts. The incumbent would be responsible for ensuring that this major capital project conducts development work cost-efficiently, adopts appropriate competition and financial incentives, and uses a performance-based management system to ensure that cost, schedule, and performance goals are met. In this way, the initiative will be consistent with the objective of the Capital Projects Unit to initiate, plan, execute, monitor, control and successfully close-out all capital projects, inclusive of new construction and renovations, for all Court facilities and to ensure that projects are implemented within schedule, budget and quality requirements.

Expenditure Plan. The Project Manager will be recruited and hired according to Court personnel policies.

Performance Indicators. To fulfill the requirements of section 300 of OMB Circular A-11, the Project Manager will be responsible for establishing, monitoring, and reporting on all work performed against baseline goals, and instituting corrective action if cost, schedule, or performance estimates vary from the established baseline by 10% or more.

Relationship to existing funding. Due to the urgent need for this position, it was filled by leaving critical positions vacant. Stable funding for this position is critical.

### **FTE Request: Project Manager, Facilities Upgrades (JS-13), \$91,000**

Problem Statement. Following years of deferred maintenance due to limited funds, the Courts are undertaking major upgrades and expansion to all court buildings, requiring sufficient expert, professional management staff effectively to administer these multi-million dollar projects. The current branch manager and supervisors lack the resources to manage these projects while they manage day-to-day staff work. The need for project management expertise is critical to administering tasks related to initiation, planning, design, execution, control and close-out of various prospectus level courthouse renovations and other major capital alteration projects.

Relationship to the Courts' vision, mission, and goals. Adequate staff for effective management of capital facilities upgrade projects will support the Courts' goal of improving their facilities. This position will help the Courts implement critical facilities upgrades outlined in building evaluation reports and in the Facilities Master Plan, thereby providing a functional, safe, and habitable physical environment to court employees and the public.

Relationship to Divisional Objectives. Management of the design and construction process for prospectus level courthouse renovations and other major alterations is consistent with the Divisional objective of providing direct support services to the judicial offices, the operating

divisions, and other support units of the Court, as well as to the public through effective and efficient management of Court facilities, infrastructure and assets.

Expenditure Plan. The Project Manager will be recruited and hired according to Court personnel policies.

Performance Indicators. The Project Manager will be responsible for establishing, monitoring, and reporting on all work planned and performed against baseline goals, and instituting corrective action if cost, schedule, quality, or performance estimates vary from established reporting baselines by 10% or more.

Relationship to existing funding. Due to the urgent need for this position, it was filled by leaving critical positions vacant. Stable funding for this position is critical.

### **FTE Request: Materiel Management Specialist (JS-11), \$63,000**

Problem Statement. To ensure the security of and carry out the responsibility for receipt and temporary storage/staging of items purchased by the Courts, the Division is seeking to enhance and improve the control and management of fixed, controllable, and sensitive assets. To enhance the management of assets, a dedicated, full-time staff person is needed. Staff members have been given portions of the responsibility but also are expected to carry out their primary job duties. As a result, accountability for the critical function of asset and inventory control is at risk and needs to be enhanced.

Relationship to the Courts' Vision, Mission, and Goals. This initiative supports the Courts' goal of enhancing the administration of justice by promoting responsible stewardship of public resources and ensuring administrative efficiencies.

Relationship to Divisional Objectives. The establishment of a materiel management function in the Courts is consistent with the Divisional objective of providing direct support services to the judicial offices, the operating divisions, and other support units of the Court, through effective and efficient management of Court facilities, infrastructure, and assets.

Performance Indicators. Performance on this initiative will be based upon the Division's ability to provide a central point of receipt for deliveries and adequate inventory, storage and timely delivery of items purchased by the Courts.

### **Equipment Leasing Request: Transportation Replacement, \$195,000**

Problem Statement. The Courts have 18 vehicles that are used for a variety of purposes, including probation officer home visits to juveniles under supervision, judicial visits to detention facilities, and delivery of mail and equipment throughout the court complex. The Courts' vehicles are old and in poor condition, and the Courts cannot afford to maintain them. Six years is a generally acceptable vehicle replacement cycle. The United States General Services Administration (GSA) uses a 3-year replacement cycle for the vehicle fleet it leases and manages. Eight-five percent of the Courts' vehicles (15 of 18 vehicles) are currently six or more

years old, and by FY 2007 all will be beyond the usual replacement age. The Courts have performed the minimal maintenance to keep the vehicles operational, but have deferred most repair costs (except those affecting safety).

Relationship to the Courts' Vision, Mission, and Goals. This initiative supports the Courts' goal of enhancing the administration of justice by ensuring administrative efficiencies that would result from better functioning vehicles.

Relationship to Divisional Objectives. The replacement of vehicles that have exceeded their replacement cycle is consistent with the Divisional objective of providing direct support services to the judicial offices, the operating divisions, and other support units of the Court, through effective and efficient management of Court facilities, infrastructure and assets.

Proposed Solution. It is proposed that fleet vehicles that exceed six (6) years in age or are in poor operating condition be replaced through GSA leasing.

Performance Indicators. Evaluation of effectiveness of the acquisition will be reflected in the reduction of downtime and increased timeliness of response to transportation requirements.

### **Leasing Request: Warehouse Space, \$525,000**

Problem Statement. From June 2002 through June 2003, the Administrative Services Division moved over 30,000 cases of records out of court facilities to the Federal Records Center. Additionally, old equipment, furniture and furnishings that are excess or surplus to the present needs of the Courts have gone through the property disposal process and have therefore created more available space within the Courts' facilities. However, there remains a lack of adequate storage space in the premium square footage areas of various Court buildings for the remaining equipment, furniture, and bulk supply items. As the Courts continue to implement the Master Plan for Facilities, the limited and inadequate space currently used for storage has a much greater value in meeting the overall square footage requirements of the Courts. The Division estimates that an additional 25,000 to 30,000 sq. ft. of storage space is required to accommodate items currently stored in premium court space.

Relationship to the Courts' vision, mission, and goals. For the Courts to receive proper administrative support, there must be adequate facilities to receive, store, and stage delivery of supplies, furniture, and equipment. Judges, citizens, customers, and court staff must be assured that materiel will be protected and delivered on time to the intended recipients. This initiative supports the Courts' goal of enhancing the administration of justice by promoting responsible stewardship of public resources and ensuring administrative efficiencies.

Relationship to Divisional Objectives. The establishment of adequate warehouse space is consistent with the Divisional objective of providing direct support services to the Judicial offices, the operating divisions, and other support units of the Court, through effective and efficient management of Court facilities, infrastructure and assets.

Proposed Solution. The Courts request funds to lease warehouse space in the District of Columbia that is secure, climate controlled, and readily accessible 24-hours, 7-days per week.

Methodology. Warehouse space in the District with these requirements may cost as much as \$17 to \$18 per square foot, and the Division estimates that 25,000 to 30,000 square feet of space will be needed. The cost is approximately \$525,000 per year (30,000 sq. ft x \$17.50 per sq. ft.).

Expenditure Plan. In identifying available warehouse space, the Courts' will be limited to space within the District of Columbia that provides adequate security, climate control, and 24-hour access. All providers whose space meets these requirements will be considered, in accordance with the Courts' procurement policies.

Performance Indicators. Performance on this initiative will be based on the Administrative Services Division's ability to provide adequate off-site storage space upon the request of the Courts various operational divisions and on the Division's timely retrieval of items stored.

### **Leasing Request: New Space for Juvenile Probation Field Unit, \$252,000**

Problem Statement. The Courts' Social Services Division performs the juvenile probation supervision function for the District of Columbia. In order to serve juveniles in their own communities, the Courts lease and operate three field units. The lease for the northwest D.C. field unit expires on January 1, 2004, and the Courts have been informed that the owner will not renew the lease. The Courts currently pay \$15.33 per square foot for the present space, which is approximately 6,000 square feet and was first leased a decade ago, in 1993. Rents have increased considerably in Washington, D.C., where this field unit is located, and present market value for comparable space is \$35.00 per square foot. In addition, another 20% is needed to pay for build-out costs in the new space.

Relationship to the Courts' Vision, Mission, and Goals. To reach young offenders under supervision, Court probation officers must go out into the community. It is important to have a presence in all areas of Washington, D.C. to broaden access to justice and service to the public.

Relationship to Divisional Objectives. The locating and leasing of adequate space to provide outreach in Northwest Washington, D.C. is consistent with the Divisional objective of providing direct support services for the Courts' Social Services Division.

Proposed Solution. The Courts request funds to continue leasing space in the Northwest area of Washington D.C. to accommodate 10 to 15 Probation Officers and clients in a secure, easily accessible location.

Methodology. Office space in Northwest Washington, D.C. may cost as much as \$35 - \$40 a square foot, and the amount of space needed is estimated at 6,000 square feet. The cost, exclusive of any additional security, computerization, storage, office build out, and price escalation, is approximately \$210,000 (6000 sq. ft. x \$35 per sq. ft.). The cost of office build outs, security, computerization, storage, and price escalation is estimated at 20% (\$210,000 + 20% = \$252,000)

Expenditure Plan. In identifying available office space, the Courts’ area will be limited to the Northwest area of the District of Columbia. Space must be readily accessible to the juveniles and secure. All providers whose space meets these requirements will be considered, in accordance with the Courts’ procurement policies.

Performance Indicators. Performance on this initiative will be based on the Administrative Services Division’s ability to provide proper office space for the juvenile probation field unit in a timely and economic manner so as not to interrupt the services provided to their clients. Conversely, performance will be based on the Division’s ability to insure a smooth transfer of offices without closing the office for any significant amount of time.

***Equipment Request: \$115,000***

Problem Statement. The Administrative Services Division is responsible for the maintenance and operation of over one million gross square feet of space in the D.C. Courts’ facilities, which include 4 courthouses in Judiciary Square and three probation field units. To improve cost efficiency the Courts propose to acquire certain equipment so as to avoid escalating contractor costs and schedule delays. The Division receives heavy equipment and bulk supply orders (i.e. carpeting, copy paper orders, various items palletated and large in size, etc.) on a routine basis. To assist in receipt, storage, and delivery of equipment and bulk supply orders, the Division must contract for equipment or pay for “inside delivery”. The lack of in-house equipment results in the expenditure of additional funds and delays in delivering needed supplies and services to the judiciary and administrative offices serving the public. For example, several of the Courts’ older, historic buildings have extremely high ceilings (20 foot plus). Currently the Courts hire contractors to make even minor repairs as facilities staff and ladders are unable to perform the work. It would be more cost efficient and operationally effective for Administrative Services to have needed equipment readily available to maintain court facilities inside and out. Such equipment would include:

fork lift & scissors lifts	\$55,000
2 all terrain utility carts	\$10,000
3 two-person lifts	\$19,000
motor scrub machine	\$20,000
Kai Whiz Cleaning	\$4,000
key system	\$4,000
snow removal machine	\$3,000
Total	\$115,000

Relationship to the Courts’ Vision, Mission, and Goals. This additional equipment will support the Courts’ goal of enhancing the administration of justice by increasing administrative efficiencies in managing equipment and supplies.

Relationship to Core Priority Functions. The acquisition of this equipment is consistent with the Divisional objective of providing direct support services to the judicial offices, the operating



divisions, and other support units of the Court, through effective and efficient management of Court facilities, infrastructure, and assets.

Proposed Solution. Funding is requested for a forklift and two scissors lifts that will save approximately \$15,000 per year in contractual services for manpower and approximately \$7,000 in equipment rental. The total manpower requirement for task completion will be cut in half.

Methodology. In identifying the equipment needed, the distribution is as follows:

<u>Item</u>	<u>Use</u>	<u>Total Cost</u>
2 scissors lifts	One each for Buildings A & B	30,000
1 fork lift	To be moved among the buildings in the campus as needed	25,000
Additional equipment	To be used in all court buildings	60,000
<b>Total</b>		<b>\$115,000</b>

Expenditure Plan. The equipment will be purchased from the GSA Schedule, GSA Advantage or through Fed Bid to obtain the best price.

Performance Indicators. Performance on this initiative will be based on the Administrative Service Division's ability to provide adequate support.

Table 2  
**ADMINISTRATIVE SERVICES DIVISION**  
New Positions Requested

	<b>Grade</b>	<b>Number</b>	<b>Annual Salary</b>	<b>Benefits</b>	<b>Total Personnel Costs</b>
Engineer	JS-9	6	252,000	60,000	312,000
Project Manager	JS-13	2	146,000	36,000	182,000
Materiel Management Specialist	JS-11	1	51,000	12,000	63,000
<b>Total</b>		<b>9</b>	<b>449,000</b>	<b>108,000</b>	<b>557,000</b>

Table 3  
**ADMINISTRATIVE SERVICES DIVISION**  
**Budget Authority by Object Class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	3,295,000	3,670,000	4,251,000	581,000
12 - Personnel Benefits	728,000	881,000	1,021,000	140,000
<b>Subtotal Personnel Cost</b>	<b>4,023,000</b>	<b>4,551,000</b>	<b>5,272,000</b>	<b>721,000</b>
21 - Travel, Transportation of Persons				-
22 - Transportation of Things				-
23 - Rent, Communications & Utilities			777,000	777,000
24 - Printing & Reproduction				-
25 - Other Services	2,854,000	2,897,000	2,940,000	43,000
26 - Supplies & Materials	40,000	41,000	42,000	1,000
31 - Equipment	13,000	13,000	323,000	310,000
<b>Subtotal Non Personnel Cost</b>	<b>2,907,000</b>	<b>2,951,000</b>	<b>4,082,000</b>	<b>1,131,000</b>
<b>TOTAL</b>	<b>6,930,000</b>	<b>7,502,000</b>	<b>9,354,000</b>	<b>1,852,000</b>
FTE	64	64	73	9

Table 4  
**ADMINISTRATIVE SERVICES DIVISION**  
**Detail, Difference FY 2004/FY 2005**

Object Class	Description of Request	FTE	Cost	Difference FY2004/FY2005
11 - Personnel Services	Current Positions WIG	13	7,000	
	Current Positions COLA	13	125,000	
	Engineer	6	252,000	
	Project Manager	2	146,000	
	Materiel Management Specialist	1	51,000	
Subtotal				581,000
12 - Personnel Benefits	Current Positions WIG	13	2,000	
	Current Positions COLA	13	30,000	
	Engineer	6	60,000	
	Project Manager	2	36,000	
	Materiel Management Specialist	1	12,000	
Subtotal				140,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Communications & Utilities	Warehouse Space		525,000	
	Northwest Field Unit		252,000	
Subtotal				777,000
24 - Printing & Reproduction				
25 - Other Services	Built-in Increase		43,000	43,000
26 - Supplies and Materials	Built-in Increase		1,000	1,000
31 - Equipment	Transportation Replacement		195,000	
	Equipment		115,000	
Subtotal				310,000
Subtotal NPS				1,131,000
Total				1,852,000

Table 5  
**ADMINISTRATIVE SERVICES DIVISION**  
**Detail of Full-Time Equivalent Employment**

	2003 Enacted	2004 Enacted	2005 Request
JS-3			
JS-4			
JS-5	11	11	11
JS-6	8	8	8
JS-7	3	3	3
JS-8	8	8	8
JS-9	8	8	14
JS-10	3	3	3
JS-11	4	4	5
JS-12	8	8	8
JS-13	4	4	6
JS-14	4	4	4
JS-15	2	2	2
JS-16	1	1	1
JS-17			
Ungraded			
JS Salary	\$3,295,000	\$3,670,000	\$4,264,000
Total, end-of-year	64	64	73
Total Full-Time Equivalent (FTE)	64	64	73

**DISTRICT OF COLUMBIA COURT SYSTEM  
ATTORNEY ADVISORS DIVISION**

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
4	427,000	4	458,000	4	475,000	---	17,000

The Attorney Advisors Division serves as the Courts' General Counsel and performs a broad spectrum of advisory legal functions, including: analysis of pending legislation, drafting proposed legislation, contract review, legal research, and policy interpretation. The Division is charged with protecting the statutorily confidential records of the D.C. Courts from improper and unnecessary disclosure. On personnel matters, the Division provides advice and also represents management in administrative hearings. Staff serves as legal advisor to the Superior Court's Rules Committee, various Division advisory committees, and the Board of Judges on all matters concerning revision of the Superior Court's rules. Division employees serve, as assigned by the management of the D.C. Courts, on a number of other committees in a legal advisory capacity. In addition, the Division assists trial counsel (the Corporation Counsel) in the preparation of materials and advice on legal proceedings involving the Courts on matters in which the Courts have an interest. Flexibility, i.e., the ability to meet the changing needs of the Courts for legal advice and related services, is the top expectation of the Division's principal stakeholders (management of the Courts) and as such is the most important priority of the Division. A clear example of this occurred in FY 2002 when the Division was called upon to draft complaints and present evidence in administrative proceedings involving investigators who are compensated under D.C. Code §11-2605.

**Objectives**

The Division's objectives are (1) the provision of timely and accurate legal advice, (2) the provision of legal and administrative support for the drafting, approval, and promulgation of the rules of the Superior Court and their prompt dissemination to the Bar and the general public, (3) the provision of responsive legal advice and counseling to managers on employee disciplinary actions, unemployment compensation proceedings, and equal employment opportunity cases and representation of management in hearings related to such matters, and (4) the provision of responsive legal advice and assistance to the Courts' managers and employees in cases where such personnel are subpoenaed to testify or provide documentation as to Court-related matters. Performance indicators consist of the provision of timely and accurate oral and written legal advice and related services.

The Division's timely and accurate provision of legal advice and related services accomplish the Courts' goal of building trust and confidence in the judicial system by insuring, among other things, that: (a) court rules and procedures are promptly inaugurated or amended, (b) proposed legislation and court policy are drafted, (c) court management receives effective representation in administrative hearings involving employee discipline, (d) the Courts' interests are protected in contractual agreements, (e) statutory confidentiality of court records and proceedings is preserved, (f) employment issues involving legal issues are fairly and swiftly resolved and (g)

limited funds available to compensate investigators for indigent criminal defendants are protected from fraudulent claims.

### **FY 2005 Request**

In FY 2005, the Courts request \$475,000 for the Attorney Advisors Division, an increase of \$17,000 above the FY 2004 Enacted level. The request includes \$17,000 to cover built-in cost increases. In addition, the Courts request \$12,000 for specialized training for Attorney Advisors Division staff, which is requested in the Courts' Center for Education, Training, and Development budget.

Table 1  
**ATTORNEY ADVISORS DIVISION**  
**Budget Authority by Object Class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	361,000	366,000	380,000	14,000
12 - Personnel Benefits	62,000	88,000	91,000	3,000
<b>Subtotal Personnel Cost</b>	<b>423,000</b>	<b>454,000</b>	<b>471,000</b>	<b>17,000</b>
21 - Travel, Transportation of Persons				-
22 - Transportation of Things				-
23 - Rent, Communications & Utilities				-
24 - Printing & Reproduction				-
25 - Other Services				-
26 - Supplies & Materials	3,000	3,000	3,000	-
31 - Equipment	1,000	1,000	1,000	-
<b>Subtotal Non Personnel Cost</b>	<b>4,000</b>	<b>4,000</b>	<b>4,000</b>	<b>-</b>
<b>TOTAL</b>	<b>427,000</b>	<b>458,000</b>	<b>475,000</b>	<b>17,000</b>
FTE	4	4	4	-

Table 2  
**ATTORNEY ADVISORS DIVISION**  
**Detail, Difference FY 2004/FY 2005**

Object Class	Description of Request	FTE	Cost	Difference FY2004/FY2005
11 - Personnel Services	Current Positions WIG	4	2,000	
	Current Positions COLA	4	12,000	
Subtotal				14,000
12 - Personnel Benefits	Current Positions WIG	4	-	
	Current Positions COLA	4	3,000	
Subtotal				3,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Communications & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies and Materials				
31 - Equipment				
Subtotal NPS				-
<b>Total</b>				<b>17,000</b>

Table 3  
**ATTORNEY ADVISORS DIVISION**  
**Detail of Full-Time Equivalent Employment**

	2003 Enacted	2004 Enacted	2005 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	1	1	1
JS-9			
JS-10			
JS-11			
JS-12			
JS-13			
JS-14	2	2	2
JS-15	1	1	1
JS-16			
JS-17			
Ungraded			
JS Salary	\$361,000	\$365,829	\$380,106
Total, end-of-year	4	4	4
Total Full-Time Equivalent (FTE)	4	4	4

**DISTRICT OF COLUMBIA COURT SYSTEM  
BUDGET AND FINANCE DIVISION**

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
41	4,159,000	41	3,972,000	47	4,568,000	6	596,000

**Mission Statement**

The Budget and Finance Division will shape an environment in which officials of the District of Columbia (D.C.) Courts have and use high quality financial and performance information to make and implement effective policy, management, stewardship, and program decisions.

**Organizational Background**

The Budget and Finance Division is comprised of the Director's Office and four branches and employs 41 FTEs.

<u>Branch</u>	<u>FTE</u>
Director's Office	4
Budget Branch	3
Accounting Branch	7
Banking and Finance Branch	17
Defender Services Branch	<u>10</u>
DIVISION TOTAL	41

**Director's Office**

- Mission: To serve as the Executive Officer's chief financial policy advisor, promote responsible resource allocation through the D.C. Courts' annual spending plan, and ensure the financial integrity of the D.C. Courts.
- Responsibilities:
  - ◆ Establish appropriate fiscal policies to carry out the D.C. Courts' programs.
  - ◆ Prepare, enact, and administer the D.C. Courts' annual spending plan (budget).
  - ◆ Analyze legislation, federal, or local (District of Columbia) which has a fiscal impact upon the D.C. Courts.
  - ◆ Develop and maintain the accounting and reporting system of the D.C. Courts.
  - ◆ Monitor/audit expenditures by Court divisions to ensure compliance with law, approved standards, and policies.
  - ◆ Develop expenditure forecasts and estimates.
- Director's Office Objectives:
  - Objective 1.0: Promote the continuous improvement of the financial structures, processes, programs and performance of the D.C. Courts.

- Director's Office Work Process Redesign: The Director's Office has led the work process redesign effort that ties the Booz-Allen-Hamilton staffing study with technology initiatives. Such initiatives, for example, include (1) changing from GSA PC-Batch to Pegasys software – an integrated budget and purchasing system; (2) automating the preparation of end-of-the-year financial statements with CAFR (Comprehensive Annual Financial Report) 2000 software; (3) automating the budget preparation process with DBRS (Departmental Budget Review System) software; and (4) utilizing Adobe Acrobat for scanning, distributing, and storing budget and financial documents.

## **Budget Branch**

- Mission: To support officials of the D.C. Courts in maintaining and improving the Courts' fiscal health and services through evaluation and the execution of a balanced budget.
- Responsibilities:
  - ◆ Assist the Chief Financial Officer in preparing D.C. Courts' operating and capital budgets for submission to the U.S. Office of Management and Budget and to Congress. After a budget is passed and becomes law, the Budget Branch monitors and reports the annual spending plan based on appropriation for the D.C. Court of Appeals, Superior Court, Court System, and Defender Services.
  - ◆ Oversee the preparation of annual spending plans within quarterly allotments.
  - ◆ Estimate spending for divisions and monitor divisional spending during the fiscal year to ensure it is done in accordance with appropriations law and within the amounts allotted and appropriated.
  - ◆ Prepare independent analyses and estimates relating to the budget of the D.C. Courts, particularly analyses of operating and capital budget expenditures, and presents options and alternatives for the Chief Financial Officer to consider.
  - ◆ Prepare various types of analyses for the Chief Financial Officer, including expenditure estimates for programs and/or activities that Court officials, Federal and/or District of Columbia agencies, or members of Congress have introduced or plan to introduce that will impact the D.C. Courts' budget.
  - ◆ Prepare and submit on a timely basis:
    - monthly year-to-date entity-wide obligation and expenditure reports to the Joint Committee on Judicial Administration;
    - monthly year-to-date division-wide obligation and expenditure reports to division directors;
    - operating expenditure modification requests for personal services (PS) and non-personal services (NPS) to the General Services Administration (GSA);
    - grant financial reports to grantors (federal agencies and non-profit organizations) and grantees (D.C. Courts divisions) specifying the year-to-date expenditures; and
    - overtime utilization reports by division.
- Budget Branch Objectives
  - Objective 1.0: Design and develop the Annual Spending Plan for the FY 2005 D.C. Courts operating and capital budgets and submit it to the Executive Officer by October 15, 2005.



- Objective 1.1: Implement, monitor, and report on the Annual Spending Plan for the FY 2005 D.C. Courts operating and capital budgets by fund, division, and branch during FY 2005.
- Objective 2.0: To produce budgetary information and reports for the D.C. Courts to ensure appropriate allocation, utilization and control of D.C. Courts' resources in compliance with the appropriate sections of OMB Circulars, the fiscal year appropriations act, Federal Accounting Standards Advisory Board (FASAB), and D.C. Courts expenditure requirements.
- Objective 3.0: Review all Federal or D.C. proposed legislation having a fiscal impact on the D.C. Courts and prepare fiscal impact statements regarding expenditures and revenues within five days of the first reading of a bill.

Table 1  
**BUDGET AND FINANCE DIVISION**  
**Budget Branch**  
**Performance Measurement Table**

Type of Indicator	Performance Indicator	Data Source	Actual FY 2002	Estimated FY 2003	Projection FY 2004	Projection FY 2005
Output	Number of Division Spending Plans produced	Monthly Fund Status Reports	288	288	300	302
	# of divisional budget reports prepared	GSA Pegasys Budget module	48	48	48	48
	# of budget reports prepared for OMB	OMB Reports Requested	10	10	10	10
	# of budget reports prepared for response to congressional inquiry	Congressional budget requests	7	7	8	6
Efficiency	% of materials submitted timely:	Microsoft Outlook software	100%	100%	100%	100%
	Joint Committee Budget Reports to the Executive Office		98%	100%	100%	100%
	Cost to monitor each divisional budget	GSA Payroll Reports on Budget Branch	TBD	TBD	TBD	TBD
	Percent of reporting deadlines met		100%	100%	100%	100%
Quality	Earn the GFOA's Distinguished Budget Award	Government Finance Officer's Association	NA	NA	Yes	Yes

- Budget Branch Work Process Redesign: At the start of FY 2001, there was only one person in the Budget Branch. One Budget Analyst was added in FY 2001 and a second was subsequently detailed to provide the Branch Chief with additional support. Two members of the Budget Branch attended courses on "Budget Estimating Using Microsoft Excel" and "Writing Effective Budget Justification Workshop" to automate current budget process and provide writing enhancements for budget review and evaluation. The GSA's new Pegasys system will greatly streamline the budget administration and reporting function.

## **Accounting Branch**

- **Mission:** To provide timely, accurate, and useful financial information for making decisions, monitoring performance day to day, and maintaining accountability and stewardship to support the court divisions and other users of court financial information.
- **Responsibilities:**
  - ◆ Analyze, interpret, and present the D.C. Courts' financial position through timely, accurate, and professional financial reports. These reports provide:
    - Public assurance as to the accountability and integrity of the use of Court resources;
    - Adherence to budgetary and accounting policies established by Court management;
    - Adherence to budgetary and accounting policies established by the Governmental Accounting Standards Board (GASB), Federal Accounting Standards Advisory Board (FASAB), Office of Management and Budget (OMB); and
    - Compliance with Federal mandates. This program also provides high quality, timely service to Court staff through preparation, review, and approval of Court financial transactions.
  - ◆ Prepare and maintain appropriation dollar amounts in the accounting system and reconcile D.C. Courts' appropriations and expenditures to ensure the accuracy and integrity of the information in the accounting system.
  - ◆ Perform the certification of funds availability and payment functions in the General Services Administration (GSA) accounting system. Prepare the accounting documents and enter approved payment documents into the accounting system.
  - ◆ Perform court-wide data collection and record keeping necessary for reporting the D.C. Courts' general fixed assets, trust, and proprietary fund assets. Prepare the Annual Financial Report in accordance with generally accepted accounting principles.
  - ◆ Prepare all worksheets related to the annual audit.
  - ◆ Coordinate the annual independent audit.
  - ◆ Direct, plan, coordinate, and evaluate the resources, processes, and procedures related to data integrity, security, and controls within the D.C. Courts' financial systems. The branch directs and coordinates the functional aspect of financial system upgrades and improvements; educates D.C. Courts users on the system; performs troubleshooting and system table maintenance activities; and facilitates the timely availability of internal financial reports.
  - ◆ Record all fixed assets for the Court.
  - ◆ Reconcile and receive payments due from employee travel vouchers.
  - ◆ Provide training on all financial management systems.

- Accounting Branch Objectives:

- Objective 1.0: Provide timely and reliable financial management information and counsel to D.C. Courts officials for courtwide and program decisions.
- Objective 2.0: Award a single audit services contract for fiscal year 2005.
- Objective 3.0: Continue to provide efficient and accurate delivery of accounts payable and other accounting services.
- Objective 4.0: Upon successful implementation of a general ledger system, issue a comprehensive annual financial report in accordance with generally accepted accounting principles that meet the Government Finance Officer's Association's (GFOA) program requirements for excellence in financial reporting.
- Objective 5.0: Provide financial systems management for the new financial and budget systems.
- Objective 6.0: Facilitate timely and accurate payments to vendors for goods and services provided to the D.C. Courts.
- Objective 7.0: Ensure compliance with D.C. Courts financial policies and procedures.
- Objective 8.0: Effectively carry out FASAB and GASB reporting requirements.

Table 2  
**BUDGET AND FINANCE DIVISION**  
**Accounting Branch**  
**Performance Measurement Table**

Type of Indicator	Performance Indicator	Data Source	Actual FY 2002	Estimated FY 2003	Projection FY 2004	Projection FY 2005
Output	# of transactions processed	GSA Financial System	3,000	3,200	3,400	3,600
Efficiency	Days to close yearly accounts	Branch Records	270	180	180	180
Quality	Audit opinion for previous year	Independent Auditor	Unqualified	Unqualified	Unqualified	Unqualified
Quality	Earn the GFOA's Certificate of Achievement for Excellence in Financial Reporting	Government Finance Officer's Association	NA	Yes	Yes	Yes
Efficiency	Ratio of total checks to checks returned as undeliverable	GSA Financial System	NA	120:1	127:1	180:1
Quality	Estimated payments (\$5,000+) processed within 3 days	GSA Financial System	NA	98%	99%	99%
Output	Reduction in the number and dollar value of year-end accounts payable open items	GSA Open Items report	NA	TBD	TBD	TBD

- Accounting Branch Work Process Redesign: The new Accounting Branch Chief reorganized the branch and instituted accounting process improvements that resulted in lowering the accounting transaction cycle times, restructuring the object classes to more accurately track

expenditures, and developing weekly expenditure reports that provide management with more current information on the status of funds. The Accounting Branch is the project lead on the Pegasys financial system, Departmental Budget Reporting System (DBRS), and CAFR-2000 software implementations. Accounting staff has received training in appropriations law and will focus on the development of accounting core competencies as recommended in the Joint Financial Management Improvement Program (JFMIP).

### **Banking and Finance Branch**

- Mission: To ensure the accurate and secure receiving, receipting, and processing of payments received at various locations throughout the D.C. Courts, including payments processed manually, through cash registers, or through automated systems.
- Responsibilities:
  - ◆ Receive payments from customers (court fees, fines, and forfeitures) at public cashier offices.
  - ◆ Establish and maintain good customer relations.
  - ◆ Perform cash management operations according to established D.C. Courts' financial policies and procedures.
  - ◆ Protect the assets of the D.C. Courts through sound accounting, reporting, and loss prevention practices.
  - ◆ Deposit all monies received and complete all cash receipt forms promptly and accurately; balance cash daily.
  - ◆ Account for all monies held in escrow in the Registry of the Court and reconcile all Court bank accounts.
  - ◆ Make payments to witnesses in accordance with the D.C. Code and related Court rules.
- Objectives of Banking and Finance Branch
  - Objective 1.0: Ensure the receipt, safeguarding, and accounting for all fees, fines, costs, payments, and deposits of money or other negotiable instruments.
  - Objective 2.0: Ensure the deposit into the U.S. Treasury or Crime Victims Compensation Fund of all fines, fees, unclaimed deposits, and moneys.
  - Objective 3.0: Provide timely and accurate tracking and reporting of all collections, disbursements, escrows, deposits, and fund balances under the stewardship of the Courts in accordance with Federal and D.C. statutes, Court rules and policies, Court orders, and Generally Accepted Accounting Principles.
  - Objective 4.0: Maintain good working relationships with D.C. Courts' banking institutions to maximize the use of available financial services to ensure the most timely and efficient manner to perform financial activities (e.g. receipt, recording, deposits, collateralization and reporting of funds or deposits).

Table 3  
**BUDGET AND FINANCE DIVISION**  
**Banking and Finance Branch**  
**Performance Measurement Table**

Type of Indicator	Performance Indicator	Data Source	Actual FY 2002	Estimated FY 2003	Projection FY 2004	Projection FY 2005
Output	# of transactions processed	Court Finance and Revenue System (CFARS)	257,000	250,000	245,000	245,000
Efficiency	Average number of transactions processed per cashier	Court Finance and Revenue System (CFARS)	36,700	35,740	35,000	35,000
Outcome	% of transactions deposited within 48 hours of receipt	Bank Statements	95%	96%	97%	98%

- Banking and Finance Branch Work Process Redesign: Banking and Finance has reclassified some existing positions to more closely align them with the cashiering, banking, and accounting functions performed by its employees. The reconciliation process has been redesigned by the new Branch Chief to more accurately report on the status of payments, deposits, and transfers. New internal controls and procedures have been initiated to more closely manage and monitor workflow.

#### **Defender Services Branch**

- Mission: As required by the Constitution and statute, the District of Columbia Courts appoint and compensate attorneys to represent persons who are financially unable to obtain such representation under three Defender Services programs. In addition to legal representation, these programs offer indigent persons access to experts to provide services such as transcripts of court proceedings; expert witness testimony; foreign and sign language interpretations and genetic testing.
- Responsibilities:
  - ◆ Issuance, audit, review, tracking, and payment of vouchers for the Criminal Justice Act (CJA) and Council for Child Abuse and Neglect (CCAN) Programs. The types of vouchers that are processed by the Defender Services program include vouchers for legal and expert services (including supplemental voucher forms); vouchers for Mental Health and Retardation proceedings; and Appeal proceedings vouchers. (As prescribed under D.C. Code 23-106, witnesses for indigent defendants are paid by the Court if: 1) A valid and completed subpoena has been issued for the presence of the witness or 2) the presence of the witness is necessary to provide for an adequate defense.)
  - ◆ Review, process, and pay court-ordered compensation to legal and expert service providers who represent and protect mentally incapacitated individuals and minors whose parents are deceased under the Guardianship program.

- Objectives of Defender Services Branch
  - Objective 1.0: Provide accurate and timely issuance of CJA and CCAN vouchers to qualified service providers.
  - Objective 2.0: Audit and review voucher submissions to ensure compliance with Federal and local statutes, Court rules, the CJA Plan, Court Administrative Orders, as well as applicable Court policies, procedures and guidelines and with Generally Accepted Accounting Principles.
  - Objective 3.0: Ensure accurate and timely processing of approved vouchers and other Court ordered compensation for payment in accordance with Federal and local statutes, (including those governing Prompt Pay) Court rules, the CJA Plan, Administrative Court Orders, as well as applicable Court policies, procedures and guidelines and Generally Accepted Accounting Principles.
  - Objective 4.0: Provide timely and reliable financial management information (including projections and fund status) and other empirical data to the United States Congress, the Office of Management and Budget, Judicial staff, Court officials, and other agency staff related to Defender Services program decisions.
- Defender Services Branch Work Process Redesign: The new Branch Chief in Defender Services has initiated several initiatives to improve customer service to attorneys and reduce the cycle time for payments on vouchers that have been correctly prepared and submitted. Processes have been redesigned for the processing of Criminal Justice Act (CJA), Counsel for Child Abuse and Neglect (CCAN), and Guardianship and Protective Proceedings Act vouchers.

### **FY 2005 Request**

The Courts' FY 2005 request for the Budget and Finance Division is \$4,568,000, an increase of \$596,000 (15%) above the FY 2004 Enacted level. The requested increase consists of \$228,000 for 3 FTEs to augment the accounting staff; \$152,000 for 2 FTEs to enhance budget operations; \$91,000 and 1 FTE to enhance programmatic management of the Defender Services programs; and \$125,000 for built-in cost increases.

### **FTE Request: 3 Accountants (JS-12), \$228,000**

Problem Statement. Recent independent audit recommendations by KPMG that the Courts acquire, install, and use a stand-alone general ledger system to facilitate the preparation of financial statements and reporting requirements of GASB 34 require additional accounting staff. In FY 2003, the Courts implemented the GSA Pegasys accounting system, which is based on the Momentum financial system and is a JFMIP approved Federal Financial Management package. The new system will provide a standard general ledger, budget subsystem and a purchasing subsystem that provides some processing and tracking functions. The accountants will analyze, reconcile, and close the Court's books on a monthly basis. Primarily the three accountants will handle the daily journalizing, posting, setting up trial balances, and monthly preparation of real-time financial statements for all divisions within the Courts.

Relationship to Court Mission, Vision and Strategic Goals. The Budget and Finance Division is responsible for ensuring fiscal accountability, which supports the Courts' goal of enhancing the administration of justice by ensuring administrative efficiencies and utilizing best practices. Providing division directors with timely and detailed financial information on which to base divisional management decisions will enhance administrative efficiencies and strengthen the fiscal integrity of the Courts.

Relationship to Divisional Objectives. Accurate and complete general ledger often requires financial information on fines, fees, and forfeitures related to cases. On the revenue side of the ledger, the accountant positions and the general ledger will provide a more accurate and timely depiction of the monies collected and owed to the Court. Courtroom operations will be aided by the ability of the general ledger to consolidate financial obligations of defendants within moments of a data base query. The Pegasys system will be a major interface with IJIS, providing the court with the ability to portray all financial obligations and payments.

Proposed Solutions. Hire three (3) accountants to analyze, reconcile, and close the Court's books on a monthly basis. Primarily, the three accountants will journal, post, and set up trial balances daily, and prepare real-time financial statements monthly for all Court divisions. Duties will also include monthly reconciliations, matching daily accounting transactions to appropriate object classes, and completing monthly closes so that the financial reports portray "basis of budgeting" and "basis of accounting" methodologies.

Methodology. The need for the accountants is based on audit findings and recommendations from KPMG LLP and a prior GAO audit regarding the daily, weekly, and monthly reconciliation of all accounts (escrow, expenditure, capital, grants).

Expenditure Plan. The recruitment and selection process will be conducted in accordance with court personnel policies.

Performance Indicators. The Courts will measure performance through the following metrics: (1) reduction in the time and effort to complete the annual audit; (2) reduction in the number of reprogramming requests by division directors based on their ability to receive timely financial information; and (3) timely completion of monthly financial reports.

**FTE Request: 2 Budget Analysts (JS-12), \$152,000**

Problem Statement. The Department of the Treasury, the Office of Management and Budget, the General Accounting Office and the Office of Personnel Management are working together in the executive branch to improve financial management policies and practices. This joint undertaking is consistent with the President's agenda for linking performance with the budgetary process, and for otherwise improving financial performance. Since the enactment of the National Capital Revitalization and Self-Government Improvement Act of 1997 and the Government Performance Review Act (GPRA), the Courts have been working to adjust budgetary and financial policies, practices, and reporting systems to ensure the fulfillment of Federal requirements.

The Budget and Finance Division's Accounting Branch has historically assumed certain budget responsibilities to ensure the completion of key functions, including but not limited to fund certification and grant monitoring and reporting. With the implementation of GSA's Pegasys accounting system and related subsystems that will enable the Courts to maintain a standard general ledger, this assumption of duties is no longer possible. The Courts continue to improve their financial management and seek to enhance their budget execution capability, and their ability to monitor, measure, evaluate, and report on budgetary performance. Additional budget staff is needed to carry out these important initiatives, while ensuring that the Courts maintain and provide timely, accurate and useful information for making decisions and projecting future resource needs.

Relationship to Court's Vision, Mission and Goals. This initiative supports the D.C. Courts' goal of enhancing the administration of justice by seeking resources necessary to support effective and efficient operations and expending them prudently. Improved reporting through the enhancement of performance criteria and measurement systems linking budgetary resources with strategic goals also supports the Courts' goal of being accountable to the public.

Relationship to Core or Priority Functions. This request for increased staffing in the budget branch supports the division's mission to provide timely, quality and reliable financial and performance information to make and implement effective policy, management, stewardship, and program decisions.

Relationship to Existing Funding. Approximately \$255,000 of the Courts' FY 2003 enacted budget is currently providing for (3) FTEs in the Budget Branch. An additional two (2) FTEs are required in the budget branch to ensure that all budgetary related duties are timely executed, since failure to do so will have courtwide implications.

Proposed Solutions. Hire (2) budget analysts to assist in the performance of programmatic, trend and other analyses to ensure that the budget branch is able to effectively and efficiently carry out its mandates relative to the development, implementation, execution and reporting on the Courts' budget. Duties will also include accounting and monitoring of grant funds, capital assets, and inter-agency reimbursements.

Methodology. The continued development of performance criteria and measurement systems linking budgetary resources to strategic goals necessitates this request for budget analysts to carry out key budgetary functions. Moreover, with increasingly limited opportunities for additional Federal funding, there is an increased need for more analyses to ensure proper resource allocation and the recovery of costs for grant expenditure and other reimbursable services.

Expenditure Plan. The recruitment and selection process will be conducted in accordance with the D.C. Courts' personnel policies.



Performance Indicators. The D.C. Courts will measure performance by 1) timely issuance of monthly budget to actual reports; 2) timely draw downs of grant and reimbursable expenditures; and 3) trend, progressive and other analyses.

**FTE Request: Defender Services Program Manager (JS-13), \$91,000**

Problem Statement. In recent years, the Courts have directed increased efforts to improve the financial management of the Defender Services programs. For example, the Courts have established panels of qualified attorneys to ensure that indigent defendants are well represented, streamlined the voucher payment process to ensure more timely compensation of attorneys, and the voucher tracking and cost estimation process has been enhanced and automated to improve budgetary projections. However, the Courts lack dedicated staff to coordinate and more comprehensively exert greater management control over Defender Services from a programmatic perspective.

The Courts are now working to implement Congressional mandates, such as practice standards for court appointed attorneys in the Family Court and a continuing legal education requirement in the Criminal Justice Act (CJA) program. The Courts are also implementing a revised CJA Plan that differentiates between routine legal services in relatively simple matters and those requiring more complex representation. The payment and voucher review processes will be different depending upon whether the case is routine or complex. As the Defender Services programs, including CJA, Counsel for Child Abuse and Neglect (CCAN) and Guardianship, have evolved from a series of individual transactions to a program requiring more coordinated court management, a program manager is required.

Relationship to the Courts' Vision, Mission, and Goals. Enhanced programmatic management of the Defender Service Programs will improve the Courts ability to fulfill their mission to protect rights and liberties by supporting their goal of enhancing the prompt and efficient administration of justice.

Proposed Solution. The Courts request funding for an attorney to serve as a program manager to coordinate the Courts' work on these programs, both internally and with external agencies.

Methodology. The position is classified at a JS-13 based on the Courts' classification policies.

Expenditure Plan. The Project Manager will be recruited and hired according to Court personnel policies.

Performance Indicators. The Program Manager will work to enhance the programmatic management of the Defender Services programs.

Table 4  
**BUDGET AND FINANCE DIVISION**  
**New Positions Requested**

<b>Position</b>	<b>Grade</b>	<b>Number</b>	<b>Annual Salary</b>	<b>Benefits</b>	<b>Total Personnel Costs</b>
Accountants	JS-12	3	183,000	45,000	228,000
Budget Analysts	JS-12	2	122,000	30,000	152,000
Defender Services Program Manager	JS-13	1	73,000	18,000	91,000
<b>Total</b>		<b>6</b>	<b>378,000</b>	<b>93,000</b>	<b>471,000</b>

Table 5  
**BUDGET AND FINANCE DIVISION**  
**Budget Authority by Object Class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	2,327,000	2,351,000	2,817,000	466,000
12 - Personnel Benefits	520,000	564,000	678,000	114,000
<b>Subtotal Personnel Cost</b>	<b>2,847,000</b>	<b>2,915,000</b>	<b>3,495,000</b>	<b>580,000</b>
21 - Travel, Transportation of Persons				-
22 - Transportation of Things				-
23 - Rent, Communications & Utilities				-
24 - Printing & Reproduction				-
25 - Other Services	1,295,000	1,040,000	1,056,000	16,000
26 - Supplies & Materials	9,000	9,000	9,000	-
31 - Equipment	8,000	8,000	8,000	-
<b>Subtotal Non Personnel Cost</b>	<b>1,312,000</b>	<b>1,057,000</b>	<b>1,073,000</b>	<b>16,000</b>
<b>TOTAL</b>	<b>4,159,000</b>	<b>3,972,000</b>	<b>4,568,000</b>	<b>596,000</b>
FTE	41	41	47	6

Table 9  
**BUDGET AND FINANCE DIVISION**  
**Detail, Difference FY 2003/FY 2004**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY2004/FY2005</b>
11 - Personnel Services	Current Positions WIG	41	8,000	
	Current Positions COLA	41	80,000	
	Budget Analysts	2	122,000	
	Accountants	3	183,000	
	Defender Services Program Manager	1	73,000	
Subtotal				466,000
12 - Personnel Benefits	Current Positions WIG	41	2,000	
	Current Positions COLA	41	19,000	
	Budget Analysts	2	30,000	
	Accountants	3	45,000	
	Defender Services Program Manager	1	18,000	
Subtotal				114,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Communications & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increase		16,000	16,000
26 - Supplies and Materials				
31 - Equipment				
Subtotal NPS				16,000
Total				596,000

Table 10  
**BUDGET AND FINANCE DIVISION**  
**Detail of Full-Time Equivalent Employment**

	2003 Enacted	2004 Enacted	2005 Request
JS-3			
JS-4	1	1	1
JS-5			
JS-6	1	1	1
JS-7	7	7	7
JS-8	5	5	5
JS-9	5	5	5
JS-10	1	1	1
JS-11	7	7	7
JS-12	5	5	10
JS-13	4	4	5
JS-14	2	2	2
JS-15	2	2	2
JS-16	1	1	1
JS-17			
Ungraded			
JS Salary	\$2,327,000	\$2,350,619	\$2,822,507
Total, end-of-year	41	41	47
Total Full-Time Equivalent (FTE)	41	41	47

**DISTRICT OF COLUMBIA COURT SYSTEM  
CENTER FOR EDUCATION, TRAINING AND DEVELOPMENT**

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
5	1,076,000	5	1,103,000	5	1,246,000	---	143,000

**Mission Statement**

The District of Columbia Courts' Center for Education, Training and Development exists to provide dynamic learning opportunities to enhance the knowledge, skill, and ability of all levels of personnel, thus improving the Courts' ability to provide service to internal and external constituencies.

**Organizational Background**

The Center's staff of five FTEs provides judicial training mandated by statute as well as judicial branch education in the Court of Appeals, Superior Court, and Court System. Classes in law and judicial procedure, senior management skills, leadership and communication competencies, Microsoft Office and Windows software training, Spanish language and culture instruction, customer service and diversity training complement procedural and technical training provided by the operating and support divisions. In FY 2003, the Center assumed responsibility for informational programs for court visitors, including international guests.

**Division Objectives**

The Division's base budget provides the human and financial resources to support the goals of the District of Columbia Courts. The objectives of the Division are:

- To support the professional development of all judicial branch personnel through 100 annual courses and conferences, so that they may better serve the public and, ultimately, enhance the public's trust and confidence in the Courts. These courses will receive participant evaluations of at least 3.5 on a 5-point scale.
- To respond to specialized requests for training from specific divisions within 48 hours so that employees can support the Courts' goal of enhancing the administration of justice.
- To provide at least 24 hours of annual certification and licensure training for juvenile probation officers and case workers so that they can better assist the Superior Court to broaden access to justice and service to the public.
- To develop alternative instructional methodologies to enhance the level of student participation. Courses will be specially designed for Family Court personnel and courtroom staff who find it difficult to participate in classroom instruction during the workday.
- To align senior management training with the Ten Core Competencies of the National Association for Court Management through 2 national programs and 12 monthly workshops so that they will be better able to provide administrative, financial, and management support to the Courts.

## **Work Process Redesign**

The major tasks and activities of the Center are adult education – the processes used to develop and deliver training; registration- the internal process for course registration; and the development of training- general administration of the training function. The Center has initiated several projects to redesign activities to enhance service. First, the Courts are conducting a courtwide training needs assessment, which will be used to assess the administrative structure of the training program and design future training programs. Next, the registration process was automated in FY 2003 to create automated class lists and to generate confirmations. The Court's Intranet will enable the Center to conduct online registration. Third, professional staff has been working more closely with support and operating divisions to tailor training to division-specific needs. Finally, IJIS implementation will provide the Center an opportunity to be more intrinsically involved with applications training by providing training to operational division personnel.

## **FY 2005 Request**

In FY 2005 the Court requests \$1,246,000 for the Center for Education, Training and Development, an increase of \$143,000 (13%) above the FY 2004 Enacted level. The requested increase consists of \$25,000 for specialized training for Criminal Division staff; \$12,000 for specialized training for Attorney Advisors staff; \$80,000 for an executive leadership development program, requested in the Initiatives section; and \$26,000 for built-in cost increases.

### **Training Request: Specialized Training for Criminal Division Staff - \$25,000**

Problem Statement. Reengineering requires that all clerical employees perform with competence in filing, grammar, and typing, however, the current workforce lacks sufficient skills. When the Court converted narrow clerical jobs to the more generalist Deputy Clerk career series, skill testing revealed that approximately 45% of employees in these positions are unable to pass a basic competency test. In addition, the introduction of the IJIS system will require all employees to be proficient on a PC platform. Most Criminal Division employees have only worked on “dummy” terminals and in legacy databases that do not require advanced computer skills.

Relationship to Court Mission and Goals. This training request supports the Courts' strategic goal of promoting competence, professionalism, and civility by employing a highly skilled and well-trained workforce. Specifically, the request supports the Courts' Strategy 3.1.2 to encourage and support professional development of court personnel to enhance their service to the Courts and the public.

Relationship to Divisional Objectives. Adequate skills are critical in all areas of Division objectives—providing calendars, processing cases and warrants, managing courtrooms and ensuring proper commitment or release of defendants.

Proposed Solution. Training funds will be used to enhance basic clerical skills, to ensure that all employees become proficient in a PC environment, and to enhance customer service.

Methodology. It has been determined that 45% of Division clerical employees will need remedial training to achieve basic competency in clerical skills, and 35% will need basic computer training. All employees will be required to attend an advanced course in customer service.

Expenditure Plan. The Division will expend these funds in accordance with standard Court training and procurement policies.

Performance Indicators. It is estimated that additional training in clerical skills will increase productivity by 10% and will allow deputy clerk staff to transition from basic clerical functions to more professional functions of monitoring cases for accuracy and timeliness. Additional computer skills will prepare all employees for the IJIS environment. Enhanced customer service skills will increase the public's satisfaction with Court services.

#### **Training Request: Attorney Advisor Division - \$12,000**

Problem Statement. The recent institution of direct federal funding for the D.C. Courts requires expertise in federal regulations establishing contract and procurement procedures. While the regulations are not in all instances applicable to the Courts, the guidance and safeguards which they create will allow the Courts to ensure compliance with federal appropriations laws. It is anticipated that this will be ongoing training. There is also a need to fund ongoing training on employment law and other legal areas for the Division's three attorneys to ensure currency of information and to support continuing legal education.

Relationship to Court Mission and Goals. This training request supports the Courts' strategic goal of promoting competence, professionalism, and civility by employing a highly skilled and well-trained workforce. Specifically, the request supports the Courts' Strategy 3.1.2 to encourage and support professional development of court personnel to enhance their service to the Courts and the public.

Relationship to Divisional Objectives. Expertise in the area of federal contract and procurement law will enable the Division to accomplish the objectives of providing "timely and accurate advice."

Proposed Solutions. Attendance at training courses on federal contract and procurement law and regulations for staff members involved in providing legal advice and direction on these matters is proposed.

Methodology. Following an assessment of needs, conferences, and classes will be identified on the subject matters in which the staff needs training.

Expenditure Plan. A training plan for the year will be developed and funds will be obligated and expended in accordance with Court policies.

Performance Indicators. Division skills in the area of federal contract and procurement law will be greatly enhanced through the augmentation and continuation of training on these matters.

Table 1  
**CENTER FOR EDUCATION, TRAINING AND DEVELOPMENT**  
**Budget Authority by Object Class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	405,000	416,000	430,000	14,000
12 - Personnel Benefits	93,000	100,000	103,000	3,000
<b>Subtotal Personnel Cost</b>	<b>498,000</b>	<b>516,000</b>	<b>533,000</b>	<b>17,000</b>
21 - Travel, Transportation of Persons	277,900	282,000	286,000	4,000
22 - Transportation of Things				-
23 - Rent, Communications & Utilities				-
24 - Printing & Reproduction				-
25 - Other Services	297,100	302,000	424,000	122,000
26 - Supplies & Materials	2,000	2,000	2,000	-
31 - Equipment	1,000	1,000	1,000	-
<b>Subtotal Non Personnel Cost</b>	<b>578,000</b>	<b>587,000</b>	<b>713,000</b>	<b>126,000</b>
<b>TOTAL</b>	<b>1,076,000</b>	<b>1,103,000</b>	<b>1,246,000</b>	<b>143,000</b>
FTE	5	5	5	-

Table 2  
**CENTER FOR EDUCATION, TRAINING AND DEVELOPMENT**  
**Detail, Difference FY 2004/FY 2005**

Object Class	Description of Request	FTE	Cost	Difference FY2004/FY2005
11 - Personnel Services	Current Positions WIG	5	-	
	Current Positions COLA	5	14,000	
Subtotal				14,000
12 - Personnel Benefits	Current Positions WIG	5	-	
	Current Positions COLA	5	3,000	
Subtotal				3,000
21 - Travel and Transportation	Built-in Increase		4,000	4,000
22 - Transportation of Things				
23 - Rent, Communications & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increase		5,000	
	Executive Leadership Development Prog.		80,000	
	Criminal Division Training		25,000	
	Attorney Advisor Division Training		12,000	
Subtotal				122,000
26 - Supplies and Materials				
31 - Equipment				
Subtotal NPS				126,000
Total				143,000



Table 3  
**CENTER FOR EDUCATION, TRAINING AND DEVELOPMENT**  
**Detail of Full-Time Equivalent Employment**

	2003 Enacted	2004 Enacted	2005 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9	1	1	1
JS-10			
JS-11			
JS-12	1	1	1
JS-13	1	1	1
JS-14	1	1	1
JS-15	1	1	1
JS-16			
JS-17			
Ungraded			
JS Salary	\$405,000	\$416,000	\$429,000
Total, end-of-year	5	5	5
Total Full-Time Equivalent (FTE)	5	5	5

## DISTRICT OF COLUMBIA COURT SYSTEM COURT REPORTING AND RECORDING DIVISION

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
67	5,315,000	67	5,870,000	79	7,713,000	12	1,843,000

The Court Reporting and Recording Division is responsible for making a verbatim record of the proceedings in the various D.C. Superior Court trials, producing transcripts for filing in the Court of Appeals and the Superior Court, and preparing transcript orders from attorneys, litigants, and other interested parties. Emphasis is placed on accurate, timely production of transcripts to ensure exceptional service. In addition, the Division provides audiovisual support for Court training programs, conferences, ceremonies, and programs.

### **Organizational Background**

The Court Reporting and Recording Division is comprised of four Branches:

1. The Court Reporting Branch is comprised mainly of stenotype court reporters and is responsible for taking verbatim trial proceedings.
2. The Central Recording Branch is responsible for digitally taping all proceedings in all courtrooms in the Moultrie Building, and in four courtrooms in Building A. Further responsibilities include restoration of audio for judges and transcript orders. The Branch also provides audiovisual equipment for Court functions.
3. The Transcription Branch is responsible for providing a verbatim transcript of all digital and analog recorded proceedings held in D.C. Superior Court that were not taken by an Official Court Reporter, including preliminary hearings, arraignments, juvenile new referrals, small claims proceedings, landlord and tenant proceedings, and traffic proceedings.
4. The Administrative Branch is responsible for processing incoming transcript requests for the Division and entering relevant data into the Court Reporting/Transcript tracking system. The branch is also responsible for record keeping and disseminating transcripts to ordering parties and the Court of Appeals.

### **Division Objectives**

The Court Reporting and Recording Division provides various services for judges, lawyers, and other parties. The Division strives to provide state-of-the-art court reporting and audio recording services and quality audiovisual services. The objective of the Division is to produce accurate and timely transcripts of Court proceedings.

Table 1  
**COURT REPORTING AND RECORDING DIVISION**  
**Performance Data**

Type of Indicator	Performance Indicator	Data Source	Actual FY 2002	Estimated FY 2003	Projection FY 2004	Projection FY 2005
Input	Transcription Branch orders received *	Division Records	2,655	2,740	2,600	2,400
Input	Court Reporting Branch orders received *	Division Records	4,680	5,280	5,400	5,400
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	184,546/ 143,863	194,546 163,863	204,546/ 178,863	214,546/ 188,350
Output	Judicial requests to restore transcripts **	Division Records	430	271	65	20
Quality	Average time to complete transcript of taped proceedings (appeal/non-appeal) ***	Division Records	220 days/ 95 days	420 days/ 55 days	80 days/ 45 days	60 days/ 30 days
Quality	Average time to complete transcript by court reporters (appeal/non-appeal)	Division Records	101 days/ 30 days	93 days/ 25 days	60 days/ 30 days	60 days/ 30 days

\* Reflects a projected shift in workload from the Transcription Branch to the Court Reporting Branch.

\*\* With the implementation of the new digital audio recording system requested in FY 2005, judges (and others) will have access to online audio, thus eliminating the need to restore archived audio.

\*\*\* Increase in the average transcript production time is due to the completion of transcripts in older cases that were part of the backlog.

### **Work Process Redesign**

Timely production of the record has been an immediate goal of Court Reporting and Recording. The Division has attained this goal through an additional contractor to transcribe taped proceedings. Also, frequent monitoring of Court Reporters' backlogs and personal counseling sessions has reduced the Division backlog.

- With the completion of the audio upgrade, financed in the FY 2003 appropriation, the quality of recordings of court proceedings should improve and facilitate an increase in transcript production both with Division transcribers and private contractors. Improved audio will increase appeal/non-appeal transcript production. Reengineering in the Central Recording Branch has allowed the Division to duplicate tapes faster and in greater volume, which equates to transcripts being transcribed in a more timely manner.
- From October 2002 to July 2003, overdue court reporter transcripts were decreased by 74, from 181 to 107. The goal of the Division is to adhere to transcript guidelines and eliminate overdue transcripts.
- From October 2002 to July 2003, the transcription branch increased tape transcription by 61%, increasing the average number of pages transcribed per month from 6,300 to 9,500. This increase has cut the tape transcription case backlog by more than 72%, from 1,250

transcript orders to 350. Tremendous progress has been made in reducing the transcript backlog in the Transcription Branch Division.

- Work related injuries, particularly carpal tunnel syndrome, pose a significant risk to Court Reporters. The Courts have taken advantage of recent technological advancements in court reporting technology to address this issue and assist injured reporters in resuming their duties. The Courts have trained injured court reporters in automated speech recognition (ASR) technology, which uses voice recognition instead of the repetitive motions that lead to injuries. Five newly trained court reporters returned to the courtroom in September 2002 and at present, one reporter has returned from carpal tunnel surgery and will be trained in the near future.

### **FY 2005 Request**

In FY 2005, the Courts request for the Court Reporting and Recording Division includes \$7,784,000, an increase of \$1,844,000 (31%) above the FY 2004 Enacted level. The requested increase consists of \$1,636,000 and 12 FTEs to improve the production of the court record, including improved digital recording equipment, and \$208,000 for built-in cost increases.

### **Improve Production of Court Record, 12 FTEs, \$1,636,000**

Problem Statement. With the enactment of the Family Court Act, the number of judicial officers at the Courts increased by 12 (3 Associate Judges and 9 Magistrate Judges) during 2002 and 2003. This will enable the Superior Court to greatly increase the number and length of hearings in child abuse and neglect cases, and other Family Court matters. Additional court reporters are necessary to ensure that the trial record is maintained.

The Courts currently have 39 court reporters. Currently, the Courthouse has 80 courtrooms to accommodate 62 associate judges, 24 magistrate judges, and nearly the same number of senior judges, processing over 150,000 cases annually. Because of the difference between the number of cases heard and the number of court reporters available on a daily basis, the Courts also maintain a digital recording system in each courtroom. The Courts purchased a state of the art digital recording system in 1998 to replace a reel-to-reel tape system in all 80 hearing and courtrooms in the Moultrie Courthouse. However, like other technology products, this system, “For the Record” (FTR), has become outdated and no longer meets the Court’s needs.

The current digital recording system is labor intensive, cumbersome, and time-consuming. It utilizes older software, and it is becoming increasingly difficult to purchase replacement or expansion parts for the older hardware. The vendor has indicated that it will no longer support the current system. In addition, the Courts have found the system to be unreliable. There have been an increasing number of incidents where the FTR system has failed to record a court proceeding, potentially threatening a litigant’s appeal and increasing costs to the court and the public for re-trials. Many technological advances have been made in digital recording systems since 1998. Not only would a new system enhance the Courts’ audio (and potential video) needs, but it would greatly increase workflow by leveraging the benefits of newer technology and advancements in the digital recording field.

In addition, the digital audiotapes (DATs) that the FTR system uses to archive proceedings for future retrieval are cumbersome to use, as they require hours of review to locate a single proceeding, and they are deteriorating years earlier than expected. DATs are similar to cassette tapes in that one must “fast forward” through portions of the tape to reach the desired selection. DAT tapes have a large storage capacity, each storing approximately one-day’s audio for 16 courtrooms, or 12 gigabytes of audio. To retrieve a particular courtroom proceeding typically takes 20 minutes. An updated system would use online storage or DVD technology, reducing the retrieval time to a few minutes. With 2,900 orders per year, a new system could save over 700 hours per year, helping the Division to comply with 30- and 60-day transcript production guidelines. The Courts have a 10-year records retention schedule. Experience with the tapes and new thinking in the industry suggests the DATs degrade after only 4 to 5 years. Therefore, every DAT tape will have to be re-recorded on a five-year cycle to meet records retention requirements. The process of re-recording DAT tapes is extremely time-consuming: one tape takes approximately four to six hours to re-record, and the Court uses 40 tapes each week.

Updated systems currently on the market offer many useful features that would facilitate the production of transcripts, which comprise the court record:

- Audio for a particular proceeding can be sealed.
- Bench conferences are automatically sealed.
- Monitoring and/or recording courtroom proceedings via closed circuit television would be possible.
- The newer systems are built with non-proprietary components, making repair and replacement easier and less costly.
- Audio could be played on non-proprietary software such as RealPlayer or Windows Media Player.
- Recording of proceedings could be set to automatically start and stop at prescribed times or by means of setting a threshold volume sensitivity such that “noise” in the courtroom would start the recording. (These options would reduce the amount of audio recorded on the servers, saving a significant amount of hard drive space.)
- Central Recording would be able to perform sound checks from one location, as opposed to requiring employees physically to go from one courtroom to another.
- Annotation files are linked to outside sources such as Information Technology Division’s list of attorneys.
- User security features would allow restricting access of users to particular courtroom(s).

Relationship to Court Mission and Strategic Goals. The Courts depend on a reliable, high-quality recording system and adequate court reporters to produce an accurate trial record to ensure informed judicial decision-making. Additional reporters and a new system are needed in order to meet the demand for the timely delivery of transcripts and support the Courts’ goal enhancing the administration of justice.

Relationship to Divisional Objectives. Additional court reporters and the purchase of a new recording system would allow the Division to achieve the goal of timely production of appeal and non-appeal transcripts.

Proposed Solutions. The additional 12 court reporters (JS-11) would permit the Court to accommodate the increased number of judicial officers and improve the production of the court record courtwide. Research in the area of digital recording points to two options: 1) upgrade our current system at a cost of approximately \$6,000 per courtroom or 2) purchase a new, state-of-the-art system at a cost of approximately \$10,000 per courtroom. From a user's standpoint, newer systems offer many features not built into the current system. Some digital audio recording companies have moved away from proprietary equipment to off-the-shelf technology, which makes repairing, replacing, and expanding a system easier and more cost-effective.

Methodology. The proposed court reporters are classified at grade 11 in accordance with the Courts' personnel policies. The proposed \$880,000 figure for a new state of the art digital recording system was based on an estimate of \$10,000 per courtroom for 80 courtrooms, plus training in the new system.

Expenditure Plan. The new reporters would be recruited and hired per the Courts' personnel policies. A contract would be negotiated for the purchase and installation of a new system in accordance with the Courts' procurement policies.

Performance Indicators. Performance indicators would include the timeliness and reliability of the production of the court record and the cost of maintaining the digital audio system. Satisfaction surveys would be completed prior to and following implementation of a new recording system, addressing issues such as the quality of audio and ease of use of the new system.

Table 2  
**COURT REPORTING AND RECORDING DIVISION**  
**New Positions Requested: FY 2005**

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Official Court Reporter	JS-11	12	\$612,000	\$144,000	\$756,000

Table 3  
**COURT REPORTING AND RECORDING DIVISION**  
**Budget Authority by Object Class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	3,957,000	4,301,000	5,069,000	768,000
12 - Personnel Benefits	756,000	1,032,000	1,214,000	182,000
<b>Subtotal Personnel Cost</b>	<b>4,713,000</b>	<b>5,333,000</b>	<b>6,283,000</b>	<b>950,000</b>
21 - Travel, Transportation of Persons				0
22 - Transportation of Things				0
23 - Rent, Communications & Utilities				0
24 - Printing & Reproduction				0
25 - Other Services	157,000	161,000	165,000	4,000
26 - Supplies & Materials	42,000	43,000	44,000	1,000
31 - Equipment	403,000	333,000	1,221,000	888,000
<b>Subtotal Non Personnel Cost</b>	<b>602,000</b>	<b>537,000</b>	<b>1,430,000</b>	<b>893,000</b>
<b>TOTAL</b>	<b>5,315,000</b>	<b>5,870,000</b>	<b>7,713,000</b>	<b>1,843,000</b>
FTE	67	67	79	12

Table 4  
**COURT REPORTING AND RECORDING DIVISION**  
**Detail, Difference FY 2004/FY 2005**

Object Class	Description of Request	FTE	Cost	Difference FY2004/FY2005
11 - Personnel Services	Current Positions WIG	67	11,000	
	Current Positions COLA	67	145,000	
	Official Court Reporters	12	612,000	
Subtotal				768,000
12 - Personnel Benefits	Current Positions WIG	67	3,000	
	Current Positions COLA	67	35,000	
	Official Court Reporters	12	144,000	
Subtotal				182,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Communications & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in		4,000	4,000
26 - Supplies and Materials	Built-in		1,000	1,000
31 - Equipment	Built-in		8,000	
	Digital Recording Upgrade		880,000	
Subtotal				889,000
Subtotal NPS				893,000
Total				1,843,000

Table 5  
**COURT REPORTING AND RECORDING DIVISION**  
**Detail of Full-Time Equivalent Employment**

	2003 Enacted	2004 Enacted	2005 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	4	4	4
JS-8	13	13	13
JS-9	3	3	3
JS-10	2	2	2
JS-11	4	4	16
JS-12	37	37	37
JS-13	1	1	1
JS-14	1	1	1
JS-15	2	2	2
JS-16			
JS-17			
Ungraded			
JS Salary	\$3,957,000	\$4,301,000	\$5,070,000
Total, end-of-year	67	67	79
Total Full-Time Equivalent (FTE)	67	67	79



**DISTRICT OF COLUMBIA COURT SYSTEM  
HUMAN RESOURCES DIVISION**

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
20	1,709,000	20	1,751,000	20	2,613,000	---	862,000

The Human Resources Division is responsible for consistent, uniform implementation of personnel policies adopted by the Joint Committee on Judicial Administration and for maintenance of employees' official personnel records. It develops and implements programs that enable the Courts to attract and employ staff with skills needed to achieve the Courts' goals and objectives. In addition, the Division maintains systems to enhance staff development and promote effective employee-management relations and assists management staff with establishment and maintenance of work environments that promote high morale and productivity. The Division also serves as the focal point for compliance with Federal and local statutes prohibiting discrimination in employment and promoting equal opportunity for women and members of minority groups who seek employment or participate in court programs.

During FY 2005, the Human Resources Division plans improvements in the following areas:

1. Position Classification: Conduct position reviews and/or desk audits on at least 20% of the Courts' non-judicial positions.
2. Employee Benefits: Increase number of benefit seminars by 5%.
3. Record Processing and Maintenance: Through the Human Resources Information Management System, HR will continue to automate the personnel action processing time to electronically transmit personnel changes to payroll vendor in real time. This will reduce the number of documents forwarded to payroll vendor by 30%.
4. Human Resource Issues Training: Working in conjunction with the Center for Education & Development and the Attorney Advisors Division, HR will continue to facilitate training courses for employees and supervisors on human resource issues, such as Corrective Actions, Fair Labor Standards Act, Family Medical Leave Act, American with Disabilities Act, and Workers' Compensation.

**Workload and Performance Measures**

During FY 2003, the Human Resources Division processed an estimated 6,619 personnel actions, 56 Family Medical Leave Act requests, two Americans with Disabilities Act requests, 30 Workers' Compensation claims; 149 recruitment actions, 1,497 employment applications; conducted 540 individual benefit consultations; and conducted classification reviews affecting 150 positions and 18% of court non-judicial positions.

### Human Resources Accomplishments - FY 2003

- Human Resources Information Management System. The Division, working in conjunction with the Personnel Data System (PDS) contractor, created a personnel data base including all Court employees that enables the Division to provide all levels of management with current, accurate, and timely personnel and position control data.
- Enhanced Employee Benefits. The Human Resources Division has implemented a College Savings Plan Program (529), Long Term Disability Plan, an Employee Assistance Program (EAP), and Transit Subsidy (Direct Pay).
- Conducted Human Resource Policy Issue Training. The Human Resources Division designed and facilitated three training sessions for supervisors on Corrective Actions. The sessions covered the three levels of Corrective Actions: (1) Level I - Misconduct, (2) Level II - Misconduct, and (3) Time & Attendance. All supervisory staff, from Division Directors to line supervisors, participated in the courses.

Table 1  
**HUMAN RESOURCES DIVISION**  
**Performance Measurement Table**

Type of Indicator	Performance Indicator	Data Source	Actual FY 2002	Estimated FY 2003	Projection FY 2004	Projection FY 2005
Output	# of personnel actions processed and forwarded to GSA via hard copy	HRD Request Log and GSA	8,958	7,000	5,000	4,000
Output	% of classifications conducted	Classification Activity Log	19%	30%	20%	20%
Output	# of times employees attended benefit seminars	Registration & attendance documents	2,094	3,000	2,500	1,500

### **FY 2005 Request**

The Court's FY 2005 request for the Human Resources Division is \$2,613,000, an increase of \$862,000 (49%) above the FY 2004 Enacted level. The requested increase consists of \$62,000 for built-in cost increases. In addition, in the Initiatives section, \$300,000 is requested for a courtwide succession planning initiative and \$500,000 for a courtwide Tuition Assistance Program.

Table 2  
**HUMAN RESOURCES DIVISION**  
**Budget Authority by Object Class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	1,302,000	1,401,000	1,451,000	50,000
12 - Personnel Benefits	317,000	336,000	348,000	12,000
<b>Subtotal Personnel Cost</b>	<b>1,619,000</b>	<b>1,737,000</b>	<b>1,799,000</b>	<b>62,000</b>
21 - Travel, Transportation of Persons	81,000	5,000	5,000	-
22 - Transportation of Things				-
23 - Rent, Communications & Utilities				-
24 - Printing & Reproduction				-
25 - Other Services			800,000	800,000
26 - Supplies & Materials	5,000	5,000	5,000	-
31 - Equipment	4,000	4,000	4,000	-
<b>Subtotal Non Personnel Cost</b>	<b>90,000</b>	<b>14,000</b>	<b>814,000</b>	<b>800,000</b>
<b>TOTAL</b>	<b>1,709,000</b>	<b>1,751,000</b>	<b>2,613,000</b>	<b>862,000</b>
FTE	20	20	20	-

Table 3  
**HUMAN RESOURCES DIVISION**  
**Detail, Difference FY 2004/FY 2005**

Object Class	Description of Request	FTE	Cost	Difference FY2004/FY2005
11 - Personnel Services	Current Positions WIG	20	2,000	
	Current Positions COLA	20	48,000	
Subtotal				50,000
12 - Personnel Benefits	Current Positions WIG	20	-	
	Current Positions COLA	20	12,000	
Subtotal				12,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Communications & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Succession Planning		300,000	
	Tuition Assistance		500,000	
Subtotal				800,000
26 - Supplies and Materials				
31 - Equipment				
Subtotal NPS				800,000
Total				862,000

Table 4  
**HUMAN RESOURCES DIVISION**  
**Detail of Full-Time Equivalent Employment**

	2003 Enacted	2004 Enacted	2005 Request
JS-3			
JS-4			
JS-5			
JS-6	1	1	1
JS-7	2	2	2
JS-8	1	1	1
JS-9	2	2	2
JS-10			
JS-11	2	2	2
JS-12	3	3	3
JS-13	5	5	5
JS-14	3	3	3
JS-15	1	1	1
JS-16			
JS-17			
Ungraded	\$1,302,000	\$1,401,000	\$1,451,000
JS Salary			
Total, end-of-year	20	20	20
Total Full-Time Equivalent (FTE)	20	20	20

## DISTRICT OF COLUMBIA COURT SYSTEM INFORMATION TECHNOLOGY DIVISION

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
38	6,728,266	38	5,319,000	44	9,370,000	6	4,051,000

The Information Technology (IT) Division acquires, develops, implements, administers, and secures the Courts' information systems. Its responsibilities are carried out under the direction of a Director's Office by a project office, quality assurance staff, and operations groups that develop applications, administer computer networks, administer legacy mainframe applications, oversee information security, and provide customer service support to end users.

### **Mission Statement**

The mission of the Information Technology Division is to facilitate the fair and efficient administration of justice by providing secure access to accurate, timely, easily accessible information and integrated information systems.

### **Vision Statement**

To achieve its mission, the Information Technology Division has adopted the vision of "a state of the art information technology enterprise architecture and environment that supports and advances the Courts' mission and maximizes efficient use of Court resources."

### **Organizational Background**

The Information Technology Division delivers information systems services and support to all other Court Divisions. Some of the Division's major services include:

- Designing, developing, implementing and maintaining information systems to enable case processing for the Courts' divisions.
- Supporting the Courts' jury management, appeals processing, financial management, child support disbursement, and human resources functions through automation of business processes.
- Enabling computer-based data exchange among District of Columbia criminal and juvenile justice agencies.
- Managing Court-wide, computer-based office automation and Internet connectivity through a wide-area network.
- Maintaining and supporting mainframe and client/server information systems.
- Identifying new technologies to assist the continuous improvement of the Court's operations.
- Overseeing implementation of the Courts' Integrated Justice Information System (IJIS).

In its role, the Information Technology Division assists business process improvement through the automation of workflow, knowledge exchange through the use of the Internet, and strategic management through the information technology architecture.

The Information Technology Division has four primary responsibilities:

- *Case Tracking* involves the framework, hardware, database, and software to store case data and make it available for user inquiry and processing. Core functions supporting this responsibility are (1) design and maintenance of systems; (2) operation and production of hardware systems; and (3) providing user support and assistance.
- *Case Processing* involves the daily tasks associated with court case activity as cases progress to resolution. Events are scheduled, notices and calendars are printed, results or decisions are recorded, and management reports are produced.
- *Office Automation Support* requires the provision of automation tools, hardware and software, networks, servers and gateways, training and assistance for all judicial and non-judicial staff. Core functions are design and maintenance of systems; configuration, installation and maintenance of the Wide Area Network; help desk and training support.
- *Knowledge Exchange* consists of providing automated information tools, such the Internet and specialized research services; tools for data exchange among justice agencies; and tools to disseminate court information to the community, such as reports, public use terminals, kiosks, and the Internet.

To improve its operational effectiveness, the IT Division is going through a period of transformation, which it launched with the development of an IT strategic plan. In a prior audit, the General Accounting Office (GAO) cited the need for more disciplined processes to manage the acquisition of IJIS and, in particular, the need for rigorous, objective quality assurance and risk management practices. The Courts responded to GAO's audit with a commitment (1) to institute better policies, processes, and procedures for managing IT, which are based on the Software Engineering Institute's Capability Maturity Model – Integrated (CMMI), and (2) to achieve CMMI "Maturity Level Two" and "Maturity Level Three" certification in calendar years 2003 and 2004, respectively.

The initiative to institute disciplined, repeatable processes through CMMI began in October 2002, and the Courts have begun an intensive training program to support the rollout of new policies, directives, processes, and guidelines for the management of IT.

To institute repeatable, sustainable processes and achieve CMMI ML-2, the D.C. Courts chartered a program – the ITA/CMMI initiative – (1) to develop an IT strategic plan; (2) to develop an IT architecture; and (3) to design and begin the implementation of a comprehensive reengineered management blueprint for IT. In addition to the IT strategic plan and IT architecture, the management blueprint encompasses enterprise-level IT management policies, which are applicable courtwide; directives that define minimum standards and controls for how the IT Division puts these policies into operation; and processes, guidelines and standard operating procedures documented in manuals, which further standardize how the IT Division performs its responsibilities. The Courts are well on the way to meeting significant recommendations from GAO.

Most importantly, in FY 03, the D.C. Courts accelerated their transformation from a mainframe-based data processing environment with stove-piped applications to a multi-tier IT architecture and an Integrated Justice Information System (IJIS). The Courts began planning for the acquisition of IJIS in 1998 and in 2000 defined functional requirements for a COTS system with the assistance of the National Center for State Courts (NCSC). In 2001, another contractor updated these requirements, and assisted with the selection of a COTS product and a systems integrator to implement the product. Implementation began in December 2002 with the Family Court, with other divisions to follow. Implementation of IJIS for the Family Court is occurring as planned in two waves, with go-live dates occurring for August and December 2003. IJIS is the basis for the D.C. Courts' judicial technological transformation.

Governing these complex initiatives to integrate the D.C. Courts' case management systems and improve the IT Division's performance is a newly developed management control framework with senior management participation through an IT Steering Committee and technical management through an IT Change Control Board. Within the IJIS program, a Management Implementation Team (MIT) made up of managers from Superior Court divisions meets weekly as a program management advisor to oversee the implementation and make user decisions about key issues such as functional requirements, customizations, and user acceptance testing protocols. Similarly, an Integrated Project Team (IPT) consisting of IT Division managers and specialists has worked collaboratively to develop new IT management directives, processes, and the IT architecture. An IT Steering Committee, which D.C. Courts established in February 2003, oversees these program- and project-level organizational efforts. All groups operate according to policies set by the IT Steering Committee upon its formation.

A lot has changed within the IT Division and for technology at the Courts. These changes affect people, processes and technology, which is to be expected given the business transformation that is underway and fueled by IJIS. The hard work of stakeholders, a focus on the vision, and efforts to align IT with the Courts' overall strategic plan enable discipline, sustainable management control, and a focus on achieving critical outcomes.

### **Performance Indicators**

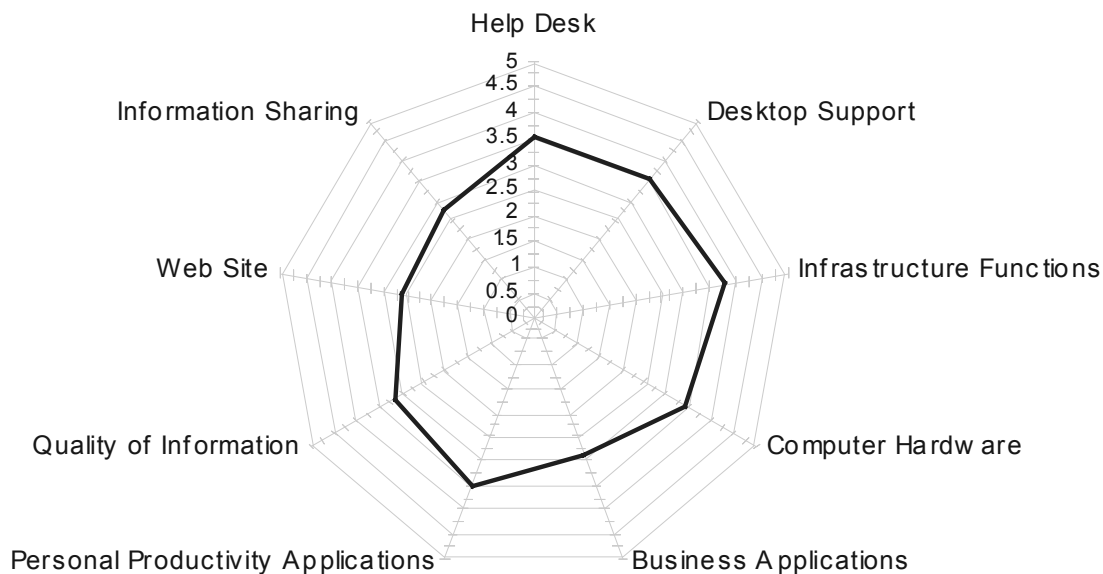
The IT Division collects metrics for its Customer Service Center – that is, helpdesk, desktop support and user services operations. Table 1 presents year-to-date information about the efficiency of the IT Division.

Table 1  
**INFORMATION TECHNOLOGY DIVISION**  
**Performance Measurement Table**

Performance Indicator	Data Source	FY03 Estimate	FY04 Estimate	FY05 Estimate
Mainframe Availability	Call and maintenance requests	98%	98%	98%
Application Availability	Call and maintenance reports	95%	97%	98%
Network Availability	Call and maintenance requests	95%	97%	98%
On Time Production Percentage	Operator Logs	91%	95%	96%
Processing Time for Re-Runs	Operator Logs	4 hours	2 hours	2 hours
Problem Resolution Within Two Hours	Call Logs	75%	90%	92%
Problem Resolution Within 24 Hours	Call Logs	90%	95%	96%

In FY 03, the IT Division implemented an annual World Wide Web-based survey of all end users at the D.C. Courts as a way to measure customer satisfaction. The survey asks all end users to rate their satisfaction with IT along various dimensions. Two hundred twenty-six end users completed the last survey, which the IT Division administered in September 2002. They provided feedback by rating a set of IT capabilities on a one-to-five scale. Table 2 summarizes the results.

Table 2  
**INFORMATION TECHNOLOGY DIVISION**  
**Results of the Survey of End Users**



The results of the survey coupled with other performance measures show that, in spite of significant IT architectural gaps between the Courts' as-is conditions and business requirements,



end users are moderately satisfied with services provided to them through the efforts of the IT Division. Two areas of lowest satisfaction – quality of information and information sharing – are being addressed by the implementation of IJIS, and an increase in satisfaction year-over-year is anticipated. The D.C. Courts are working to improve its Web site by developing and continually enhancing an internal Intranet and by designing a new public-facing external Web presence. The Intranet is an important tool for productivity and communication. The IT Division is leveraging the Intranet as a way to maintain a dynamic library of directives, processes, guidelines, and performance measures and to disseminate other information about ongoing programs, projects, and operations.

As part of its IT strategic plan and program to institute better management practices based on CMMI standards, the IT Division is implementing a comprehensive library of performance standards for information systems and the processes used to control IT assets. Table 3 below summarizes these performance standards by directive for IT management. These standards are in a pilot mode, and the IT Division will fully implement them in FY 04 with appropriate modification to replace performance measures currently collected and reported in Table 1.

Table 3  
**INFORMATION TECHNOLOGY DIVISION**  
**Reengineered IT Division Performance Standards**

Directive	Performance Standards
IT Enterprise Management (includes overall administration of the IT Division)	<ul style="list-style-type: none"> <li>• Success in achieving IT strategic planning goals, as measured through planned versus actual implementation of IT strategic initiatives on a yearly basis.</li> <li>• Success in implementing the Courts' overall strategic plan, as measured through planned versus actual implementation of management action plans on a yearly basis.</li> </ul>
Requirements-based System Development and Testing	<ul style="list-style-type: none"> <li>• The ability to trace systems and software, which are developed internally or externally, to requirements defined by end users and approved by appropriate management.</li> <li>• Active monitoring of defect rates in systems and software, which are being developed, and an overall decrease in the rate of defects over time for individual programs and projects.</li> </ul>
Quality Assurance and Performance Management	<ul style="list-style-type: none"> <li>• Objective, quantitative measurement of IT Division performance against standards set in directives performed on at least a monthly basis.</li> <li>• Maintenance of a current, up-to-date process asset library, which houses all materials to administer the mission of the IT Division and achieve goals set forth in the IT strategic plan.</li> </ul>
Program, Project and Task Management	<ul style="list-style-type: none"> <li>• Completion of milestones on time and within budget.</li> <li>• Fulfillment of all defined and approved requirements.</li> <li>• Compliance with testing and quality assurance criteria, including certification of all work products for deployment prior to their release in a production environment.</li> </ul>

Directive	Performance Standards
IT Infrastructure Operations and Management	<ul style="list-style-type: none"> <li>• Connectivity, such that users have access to IT resources during normal business hours.</li> <li>• Delay and loss, such that system activity is not excessively prolonged, and data are not lost.</li> <li>• Bulk transport capacity, such that large, regular data transfers during normal working hours do not overload network capacity.</li> <li>• Bandwidth capacity, such that there is sufficient bandwidth to manage normal network loads without significant degradation of performance.</li> </ul>
IT Customer Service Support	<ul style="list-style-type: none"> <li>• Prompt, courteous responses to all calls and service requests from the end user community.</li> <li>• Complete record keeping for service issues, including trouble tickets, work orders, and change requests.</li> <li>• Timely updates on the status of outstanding issues and validation with end users that issues have been resolved.</li> <li>• General customer satisfaction, as demonstrated through surveys of end users conducted at least on an annual basis.</li> </ul>
IT Procurement and Acquisition Management	<ul style="list-style-type: none"> <li>• Optimize use of DC Courts funding.</li> <li>• Comply with applicable overall DC Courts acquisition policies, laws, and regulations.</li> <li>• Conform to and enhance implementation of the future-state IT architecture.</li> </ul>
Configuration Management	<ul style="list-style-type: none"> <li>• Accurate, complete accounting for all IT assets.</li> <li>• Definition and maintenance of configuration baselines, which ensure standard deployment of information systems and compliance with the IT architecture.</li> <li>• Periodic validation of management and control of changes to these asset baselines.</li> </ul>
Change Management	<ul style="list-style-type: none"> <li>• Maintenance of a complete record of requested changes and their status.</li> <li>• Planned, orderly, and effective implementation of changes with communication among all stakeholders.</li> <li>• Management of risk associated with a change at a level mandated by the nature of the change.</li> </ul>
Information Security Management	<ul style="list-style-type: none"> <li>• Maintenance of complete integrity of critical information assets.</li> <li>• Maintenance of 99.9% availability during hours of normal operation for all applications and IT infrastructure, which are critical to courtroom operations.</li> <li>• Maintenance of complete confidentiality of sensitive data files.</li> <li>• A 99% level of compliance with password policies.</li> <li>• Least-privilege access to information systems.</li> </ul>

## **Work Process Redesign**

As with the rest of the D.C. Courts, the IT Division is undergoing a period of transformation. Over the past few years, the D.C. Courts have developed plans to reengineer their operations to take advantage of IJIS, to offer better services to the public, and to support greater efficiency and better effectiveness. The IT Division faces unique challenges in this context because of demands to introduce new technology, to improve service quality, to reduce unplanned downtime, and to manage the IJIS implementation.

To maximize the use of staff time and expertise, as well as to improve overall service to the Courts, the IT Division is reorganizing its personnel. The reorganization is taking place as part of the ITA/CMMI program, which has produced an IT architecture; an IT governance framework; and an implementation plan to institute disciplined repeatable processes and achieve a state of voluntary compliance with the Clinger/Cohen Act and OMB Circular A-130, and other relevant regulations, guidance, and GAO recommendations.

Operating funds will support implementation of the Division's goals, as defined in the IT strategic plan, which are to—

- Enable our judicial stakeholders to carry out their mission with an integrated justice information system;
- Equip our leaders with the tools they need to manage the Courts' business;
- Invest in reliable, secure and cost-effective IT infrastructure;
- Build IT management capabilities that will create and sustain return on investment;
- Develop our people, so they become sophisticated users of information; and
- Protect the integrity, availability, and confidentiality of our critical information assets.

Requested operating funds will support several mission-critical activities, including maintenance of information systems, furtherance of the D.C. Courts' IT architecture, and support of the Family Court through administration of IJIS in a production environment.

## **FY 2005 Request**

The Courts' FY 2005 request for the Information Technology Division is \$9,370,000, an increase of \$4,051,000 (76%) above the FY 2004 Enacted level. The requested increase consists of \$3,899,000 and 6 FTEs for an IT initiative, described in the Initiatives section, to enhance IT operations and \$152,000 for built-in increases.

Table 4  
**INFORMATION TECHNOLOGY DIVISION**  
**New Positions Requested: FY 2005**

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Performance Impr. Prog. Mgr	JS-14	1	86,000	21,000	107,000
Information Security Prog. Mgr	JS-14	1	86,000	21,000	107,000
Applications Mgr	JS-14	1	86,000	21,000	107,000
Systems Analyst	JS-13	1	73,000	18,000	91,000
Website Admin	JS-11	1	51,000	12,000	63,000
Business Sys Analyst	JS-11	1	51,000	12,000	63,000
<b>Total</b>		<b>6</b>	<b>433,000</b>	<b>105,000</b>	<b>538,000</b>

Table 5  
**INFORMATION TECHNOLOGY DIVISION**  
**Budget Authority by Object Class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	2,697,870	2,959,000	3,495,000	536,000
12 - Personnel Benefits	607,396	710,000	839,000	129,000
<b>Subtotal Personnel Cost</b>	<b>3,305,266</b>	<b>3,669,000</b>	<b>4,334,000</b>	<b>665,000</b>
21 - Travel, Transportation of Persons				0
22 - Transportation of Things				0
23 - Rent, Communication & Utilities	315,000	322,000	327,000	5,000
24 - Printing & Reproduction				0
25 - Other Services	1,314,000	1,278,000	2,942,000	1,664,000
26 - Supplies & Materials	41,000	42,000	43,000	1,000
31 - Equipment	1,753,000	8,000	1,724,000	1,716,000
<b>Subtotal Non Personnel Cost</b>	<b>3,423,000</b>	<b>1,650,000</b>	<b>5,036,000</b>	<b>3,386,000</b>
<b>TOTAL</b>	<b>6,728,266</b>	<b>5,319,000</b>	<b>9,370,000</b>	<b>4,051,000</b>
FTE	38	38	44	6

Table 6  
**INFORMATION TECHNOLOGY DIVISION**  
**Detail, Difference FY 2004/FY 2005**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY2004/FY2005</b>
11 - Personnel Services	Current Positions WIG	38	6,000	
	Current Positions COLA	38	97,000	
	Website Admin	1	51,000	
	Business Sys Analyst	1	51,000	
	Systems Analyst	1	73,000	
	Performance Impr. Prog. Mgr	1	86,000	
	Information Security Prog. Mgr	1	86,000	
	Applications Mgr	1	86,000	
Subtotal				536,000
12 - Personnel Benefits	Current Positions WIG	38	1,000	
	Current Positions COLA	38	23,000	
	Website Admin	1	12,000	
	Business Sys Analyst	1	12,000	
	Systems Analyst	1	18,000	
	Performance Impr Prog Mgr	1	21,000	
	Information Security Prg Mgr	1	21,000	
	Applications Mgr	1	21,000	
Subtotal				129,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Communications & Utilities	Built-in Increase			5,000
24 - Printing & Reproduction				
25 - Other Services	IT Initiative		1,645,000	
	Built-in Increase		19,000	
Subtotal				1,664,000
26 - Supplies and Materials	Built-in Increase			1,000
31 - Equipment	IT Initiative			1,716,000
Subtotal NPS				3,386,000
Total				4,051,000

Table 7  
**INFORMATION TECHNOLOGY DIVISION**  
**Detail of Full-Time Equivalent Employment**

	2003 Enacted	2004 Enacted	2005 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8			
JS-9	4	4	4
JS-10	1	1	1
JS-11	1	1	3
JS-12	5	5	5
JS-13	19	19	20
JS-14	6	6	9
JS-15			
JS-16	1	1	1
JS-17			
Ungraded			
JS Salary	\$2,697,870	\$2,959,000	\$3,495,000
Total, end-of-year	38	38	44
Total Full-Time Equivalent (FTE)	38	38	44

## DISTRICT OF COLUMBIA COURT SYSTEM RESEARCH AND DEVELOPMENT DIVISION

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
9	770,000	9	876,000	9	907,000	---	31,000

### **Mission**

The Research and Development Division (R&D) conducts research, policy and management studies on court operations and administrative functions; performs grant seeking activities and monitors grants in progress; conducts caseload audits and maintains and reports official court statistics; disseminates court information to the public; and provides technical assistance to judges and court administrators, including the development of new initiatives, program evaluations and performance assessments.

### **Organizational Background**

R&D is comprised of a *Director's Office*, which undertakes courtwide policy development initiatives and special project management (e.g. pilot projects in Family Treatment Court and Electronic Filing); a *development function*, responsible for grant seeking and monitoring activities; a *statistical function*, which compiles and disseminates courtwide caseload statistics, including the statutorily-required Annual Report; a *research and program evaluation function*, which provides technical support for court programs, including analyzing satisfaction surveys, assessing court performance and developing briefing papers on topics of interest to court officials; a *court information function*, which reports on court-related activities reported in daily newspapers, court administration and research publications and other sources, and includes a *Research and Development Resource Library*, which houses over 3,000 holdings on court administration, criminal justice, and resource development for use by judges and court staff.

The Division was authorized to employ 9 FTEs in FY 2003, including a Statistical Data Analyst (JS-11/12) position to support Family Court statistical reporting requirements.

### **Division's Objectives**

The Division has adopted two objectives, which align with the D.C. Courts' Strategic Goals and which guide the Division's programmatic and capacity-building activities. They are:

- Enhance the administration of justice by identifying and pursuing grant funding opportunities;
- Build trust and confidence by establishing a process to measure organizational performance, monitor results, achieve performance goals, and regularly issue reports of court performance.

### **Performance Measures**

Since FY 2000, R&D has been developing its performance measurement system to monitor activities in the Division's core functional areas of special project management, resource development, statistics, research and evaluation, and court information. Preliminary indicators were developed to guide resource allocation and the development of the Division's budget in FY 2001 with an emphasis on meeting the demand for information on court caseload activity and operations and grant proposal development. During FY 2001, these measures were modified as the Division adjusted its base funding resources in response to a decline in the requests for court information and the increasing demand on the Division for longer term technical support to address emerging court priorities, including Family Court reform and modifications to court operations. In FY 2001, the Division met all of its projected performance measures with the exception of the number of responses to requests for court caseload and other information by the public, a service area where a decline in demand had been noted. Demands on the Division for more complex technical assistance continued in FY 2002 and the Division adjusted its performance measures to include an indicator for the number of research analyses and briefing papers prepared by the Division.

During FY 2002, one of the Division's FTEs was detailed to coordinate Family Court development. However, R&D continues to provide support to Family Court reform by conducting targeted research studies and survey analyses used to formulate policies and by preparing briefing papers on select topics under consideration for Family Court implementation.

During FY 2003, the Division's support of Family Court intensified as the Division was principally responsible for collecting, compiling, analyzing, and reporting on abuse and neglect hearing activity and outcomes, including permanency goals and barriers to permanency, as reported in the "Judicial Checklist." Two R&D FTEs were devoted to support the Checklist project on a full-time basis during FY 2003.

Another responsibility assumed by R&D in FY 2003 was the development and daily maintenance of a database on case intake activity at the satellite Domestic Violence Intake Center located at Greater Southeast Hospital. The database became a primary source of R&D's evaluation of the new intake site after six months of operation. These activities in support of the Courts' Domestic Violence Unit involved 1 R&D FTE for 9 months.

The expected hiring of the Statistical Data Analyst, the return of the FTE detailed to support Family Court development, and the re-focusing of the Division through the development of its Strategic Plan (Management Action Plan, or MAP), should aid the Division in better addressing its many courtwide obligations in FY 2004. Recent shifts in the programmatic activities of the Division are reflected in the changes in performance areas as noted in Table 1.



Table 1  
**RESEARCH AND DEVELOPMENT DIVISION**  
**Performance Measurement Table**

Type of Indicator	Performance Indicator	Data Source	Actual FY 2002	Estimated FY 2003	Projection FY 2004	Projection FY 2005
Output	# of research analyses / briefing papers in support of new court initiatives	Division/Court records	30	17	20	23
Output	# of responses to requests for court caseload/other data	R&D Request for Information Log	90	112	130	150
Output	# of research studies/program evaluations completed	Division records	7	4	5	6
Output	# of grant proposals submitted (new/continuing)	Division/Court records	12	17	20	23
Output	# of special projects developed/managed	Division/Court records	9	4	4	5

### **Division Work Process Re-design**

Since the last quarter of FY 2000, as part of the Courts' effort to redesign current business processes, the Research and Development Division identified eight major business processes related to its core functions. The Division further defined steps to use the Division's resources more efficiently and enhance service delivery. These have continued through FY 2003 and include: 1) Adopt and implement the Division's "Request for Information Form" to track requests for information by the public, 2) Streamline the statistical report production process by eliminating redundant narrative and review, and revising reporting formats, including the courtwide Annual Report, 3) Convene routine meetings with directors of grant-funded projects to assess compliance with spending plans and reporting requirements and to develop strategies to utilize grant funds timely and efficiently, 4) Develop performance standards and measures for operating divisions, 5) Convert the production and dissemination of court information (including daily news clippings) from hard copy to electronic format, and 6) Identify training needs of staff to enhance technical skill levels and/or to "re-tool" staff with the skills needed to address the Division's changing workload.

Addressing the Workforce Gap. During FY 2002, a staffing study of the D.C. Courts was conducted by the independent firm of Booz-Allen-Hamilton (BAH). Using the FY 2002 FTE level of the Research and Development Division as a base, the BAH study revealed a workforce gap of 2.7 (3) FTEs in the Division. R&D has begun to address this gap in several ways, including: 1) Effective use of training funds in the existing R&D budget base for capacity building, such as staff skill development and /or enhancement; 2) Scheduling projects to be undertaken sequentially, rather than simultaneously, wherever practical and feasible, given the need for timely information and the interchangeability of skills from one task to another; 3) Re-deployment of staff within the Division and across divisions of the Court (i.e., detailing employees) to better match skills with Divisional and Court needs; 4) Re-assignment of functions from the Division to other operational units of the Court (e.g., some R&D activities assumed by the Executive Office); 5) Continuous business process improvement, including

partnering with other divisions to produce work products (e.g., development of an Intranet for the Courts and automating courtwide survey distribution and completion with the Information Technology Division), and modification of related position responsibilities; 6) Development of written grant seeking and administration procedures to improve communication about and management of these activity areas across the Courts; and 7) Continuing assessment of staff training needs to develop skills needed to address the Division's varied workload. It is expected that these programmatic and administrative improvements will enable the Division to utilize existing resources better in meeting its objectives.

Information Technology is a key input into and an integral part of each major R&D activity area identified in the BAH study. Staff members in R&D at all levels have been trained in basic computer skills and are "computer literate" to the extent that they use e-mail and the Internet as well as specialized software packages to routinely accomplish their work. The Division is the sole Court user of SAS, or Statistical Analysis Software, which permits data to be processed using social science methods in order to analyze survey questionnaires, conduct program evaluations, assess performance, audit caseloads, and perform other courtwide quality control initiatives. Further, Access, Excel, and Lotus software are available in the Division. Ongoing training of all Division staff on these systems is necessary to better maintain and analyze courtwide caseload data; conduct data analyses for research and evaluation studies; seek grant opportunities (i.e., on-line and through the Internet); monitor grant activity at the Court; manage the Division's Resource Library; and monitor courtwide performance in support of the Courts' strategic planning efforts and performance-based budgeting as well as preparing progress reports for Congress on the Family Court, as required by federal law.

### **FY 2005 Request**

In FY 2005, the Courts request \$907,000 for the Research and Development Division, an increase of \$31,000 (or 4%) above the FY 2004 Enacted level. The Request consists entirely of built-in increases. During FY 2005, R&D plans to finalize its strategic plan (MAP), refine its internal performance measures and continue to re-engineer functions and positions, as an outcome both of adopting its MAP and in recognition of the changing quality and quantity of demands for the Division's services. Table 2 provides the Division's FY 2005 budget request by object class.

Table 2  
**RESEARCH AND DEVELOPMENT DIVISION**  
**Budget Authority by Object Class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	631,000	704,000	729,000	25,000
12 - Personnel Benefits	136,000	169,000	175,000	6,000
<b>Subtotal Personnel Cost</b>	<b>767,000</b>	<b>873,000</b>	<b>904,000</b>	<b>31,000</b>
21 - Travel, Transportation of Persons				-
22 - Transportation of Things				-
23 - Rent, Communications & Utilities				-
24 - Printing & Reproduction				-
25 - Other Services				-
26 - Supplies & Materials	1,000	1,000	1,000	-
31 - Equipment	2,000	2,000	2,000	-
<b>Subtotal Non Personnel Cost</b>	<b>3,000</b>	<b>3,000</b>	<b>3,000</b>	-
<b>TOTAL</b>	<b>770,000</b>	<b>876,000</b>	<b>907,000</b>	<b>31,000</b>
FTE	9	9	9	-

Table 3  
**RESEARCH AND DEVELOPMENT DIVISION**  
**Detail, Difference FY 2004/FY 2005**

Object Class	Description of Request	FTE	Cost	Difference FY2004/FY2005
11 - Personnel Services	Current Positions WIG	9	1,000	
	Current Positions COLA	9	24,000	
Subtotal				25,000
12 - Personnel Benefits	Current Positions WIG	9	-	
	Current Positions COLA	9	6,000	
Subtotal				6,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Communications & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies and Materials				
31 - Equipment				
Subtotal NPS				-
Total				31,000

Table 4  
**RESEARCH AND DEVELOPMENT DIVISION**  
**Detail of Full-Time Equivalent Employment**

	2003 Enacted	2004 Enacted	2005 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8			
JS-9	1	1	1
JS-10			
JS-11	1	1	1
JS-12	1	1	1
JS-13	1	1	1
JS-14	3	3	3
JS-15	1	1	1
JS-16			
JS-17			
Ungraded			
JS Salary	\$631,000	\$704,000	\$730,000
Total, end-of-year	9	9	9
Total Full-Time Equivalent (FTE)	9	9	9

**DISTRICT OF COLUMBIA COURT SYSTEM  
MANAGEMENT ACCOUNT**

<u>FY 2003 Enacted</u>		<u>FY 2004 Enacted</u>		<u>FY 2005 Request</u>		<u>Difference FY 2004/2005</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
--	12,054,234	--	11,811,000	--	12,996,000	--	1,185,000

This fund supports courtwide contracts, services, and systems, including: accounting, payroll, and financial services through GSA; maintenance of courtwide computer systems; procurement and contract services; safety and health services; maintenance and operation of the Courts' four buildings. The Courts' management account also provides general administrative support in the following areas: space and telecommunications, property and supplies, printing and reproduction, energy management, mail payments to the U.S. Postal Service, utilities, and security services provided by the U.S. Marshals Court Security Officers.

FY 2005 Request

In FY 2005, the Courts request \$12,925,000 for the Management Account, an increase of \$1,184,000 or 10% above the FY 2004 Enacted level. The requested increase consists of \$956,000 for additional court security requested in the Initiatives section, \$50,000 for enhanced employee benefits also requested in the Initiatives section, and \$178,000 to cover built-in cost increases.

Table 1  
**MANAGEMENT ACCOUNT  
Budget Authority by Object Class**

	FY 2003 Enacted	FY 2004 Enacted	FY 2005 Request	Difference FY 2004/2005
11 - Personnel Compensation	347,000	126,000	129,000	3,000
12 - Personnel Benefits	263,000	141,000	194,000	53,000
<b>Subtotal Personnel Cost</b>	<b>610,000</b>	<b>267,000</b>	<b>323,000</b>	<b>56,000</b>
21 - Travel, Transportation of Persons	59,997	61,000	62,000	1,000
22 - Transportation of Things	1,000	1,000	1,000	0
23 - Rent, Communications & Utilities	6,113,041	6,205,000	6,298,000	93,000
24 - Printing & Reproduction	64,000	65,000	66,000	1,000
25 - Other Services	4,751,696	4,750,000	5,777,000	1,027,000
26 - Supplies & Materials	269,500	274,000	278,000	4,000
31 - Equipment	185,000	188,000	191,000	3,000
<b>Subtotal Non Personnel Cost</b>	<b>11,444,234</b>	<b>11,544,000</b>	<b>12,673,000</b>	<b>1,129,000</b>
<b>TOTAL</b>	<b>12,054,234</b>	<b>11,811,000</b>	<b>12,996,000</b>	<b>1,185,000</b>
FTE				-

Table 2  
**MANAGEMENT ACCOUNT**  
**Detail, Difference FY 2004/FY 2005**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY2004/FY2005</b>
11 - Personnel Services	Built-in Increase		3,000	
Subtotal				3,000
12 - Personnel Benefits	Built-in Increase		3,000	
	Enhanced Employee Benefits		50,000	
Subtotal				53,000
21 - Travel and Transportation	Built-in Increase		1,000	1,000
22 - Transportation of Things				
23 - Rent, Communications & Utilities	Built-in Increase		93,000	93,000
24 - Printing & Reproduction	Built-in Increase		1,000	1,000
25 - Other Services	Built-in Increase		70,000	
	Increase Court Security Officers		956,000	
Subtotal				1,026,000
26 - Supplies and Materials	Built-in Increase		4,000	4,000
31 - Equipment	Built-in Increase		3,000	3,000
Subtotal NPS				1,128,000
Total				1,184,000